

1. HUMAN SAFETY AND WELLBEING									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
1.1	Failure to protect the health and safety of employees while undertaking their duties (including but not limited to stress and excessive workloads)	<ul style="list-style-type: none">Emergency evacuation plans in place for:<ul style="list-style-type: none">1. Administration/Civic/Library2. Leisure Centres3. Libraries4. Works Operation Centre5. Winton Road DepotSafety Management PlanSafety trainingStrategic safety resources through LGIS (insurance and risk management partnership)Ongoing audits of safety systems to AS4801 (Occupational Health and Safety Management Systems) or equivalent by LGISAsbestos Management PlanAnnual maintenance programsTool box meetingsTraining / inductions identified during Individual Development Action Plans process (performance reviews)Follow ISO:9001 (Quality Management Systems) processes	Possible	Major	Moderate	1.1.1 Emergency Planning Committee to undertake review of evacuation plans for Administration / Civic / Library buildings including suitable training for sign off by Chief Fire Warden	DIS	N/A	At least one review per year
						1.1.2 Evacuation drill to be performed for Administration / Civic / Library buildings	DIS	CFW and MAM	At least one evacuation drill per year
						1.1.3 Buildings built before 1990 and not previously suspected of having asbestos containing materials will be tested with actions to be taken to remove or control	DIS	MAM	30 August 2014
						1.1.4 Fire and evacuation drills to be performed at leisure centres on a regular basis	DCS	MLCS	Two per year
						1.1.5 Fire and evacuation drills to be performed at libraries on a regular basis	DPCD	MCDLS	Quarterly
						1.1.6 All City Buildings to have notices installed describing exits, muster points and evacuation plans	DIS	MAM	31 December 2014
						1.1.7 Further development required to safety systems to achieve gold level status	DGS	MHR	31 December 2014
						1.2	Death or serious injury to an employee	<ul style="list-style-type: none">Safety Management PlanOngoing education in safety matters and skillsSafety protocolsSafe Work Method StatementsStrategic safety resource in place through LGIS	Rare

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1.3	Failure to respond, implement and comply with new Work Health and Safety Regulations / Harmonisation when they are introduced	<ul style="list-style-type: none"> Keeping updated on developments through conferences, briefing sessions etc Strategic Safety Advisor from LGIS keeping City updated and developing new systems, processes and practices with impending legislation 	Unlikely	Medium	Moderate	No further actions required	DGS	MHR	Not applicable
1.4	Health and safety of visitors to City events is put at risk	<ul style="list-style-type: none"> Risk Management Plans developed for each event and subject to Internal Auditor review Staff briefed on requirements and procedures within Risk Management Plans Undertake debrief and review of event 	Possible	Major	Moderate	No further actions required	DCS	MLCS	Not applicable
1.5	Death or serious injury of contractors and members of the community due to failing infrastructure	<ul style="list-style-type: none"> Annual condition assessments undertaken on City buildings to prioritise maintenance response City buildings have been controlled or removal has occurred for suspected asbestos containing materials Capital Works Programs includes the upgrade and renewal of City infrastructure Annual maintenance programs for engineering capital works construction and resurfacing programs 	Possible	Major	Moderate	1.5.1 Implement corporate integrated asset management system to comply Department of Local Government's Integrated Planning and Reporting Framework	DIS	MAM MIMS MOS	2017
1.6	Inappropriate behaviour by employee or volunteer towards a child, young person or aged person while they are participating in City programs and services	<ul style="list-style-type: none"> Relevant staff and volunteers subject to working with children checks, police checks Appropriately qualified staff Supervision and training by the City Undertake debrief and review at conclusion of each event 	Possible	Catastrophic	High	1.6.1 Staff and volunteer training in recognising elder abuse to be conducted.	DPCD	MCDLS	31 June 2014
			Possible	Major	Moderate	No further actions required	DCS	MLCS	Not applicable

2. LEGISLATIVE AND COMPLIANCE									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
2.1	Failure to comply with legislative obligations or respond to new legislation which may result in injury or death to employees or public Failure to deliver services Adverse publicity Financial penalties and/or imprisonment Value for money not being achieved Increased risk of fraud and/or misconduct	<ul style="list-style-type: none"> • Policies, protocols and procedures • Access to legal advice • Legislative changes gazetted • Principal Legal Officer responsible for monitoring legislative changes and advising on implementation of new procedures • Annual Compliance Audit Return submitted to Department of Local Government and Communities • Membership of advisory bodies and expert organisations for advice on compliance matters • Corporate training (including Managers and Directors) 	Unlikely	Medium	Moderate	2.1.1 Development of a Corporate Health Checklist	CEO	A/MERS	30 June 2014
						2.1.2 Development of a Corporate Compliance Calendar	DGS	MG	30 June 2014

3. ENVIRONMENTAL									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
3.1	Failure to prepare and adapt to the impacts of climate change	<ul style="list-style-type: none"> Climate Change Strategy under development 	Unlikely	Medium	Moderate	3.1.1 Climate Change Strategy to be finalised	DGS	MSOD	April 2014
3.2	City operations result in long-term and permanent damage to the environment	<ul style="list-style-type: none"> Biodiversity Action Plan 2009-2019 Environmental Plan 2013-2018 under development 	Unlikely	Medium	Moderate	3.2.1 Environmental Plan to be finalised	DGS	MSOD	April 2014
3.3	Contractor operations result in long-term or permanent damage to the environment	<ul style="list-style-type: none"> Specific requirements documented in tenders and contracts Contract superintendents appointed to monitor and report on contractor performance Training of new staff in project management techniques and contract superintendent requirements. 	Possible	Major	Moderate	No further actions required	DIS	MOS	Not applicable
3.4	Failure to meet water saving targets	<ul style="list-style-type: none"> Water Plan 2012-2015 Participation in Water Wise Council's Program Report annually to the Department of Water on groundwater consumption 	Possible	Medium	Moderate	3.4.1 Monitoring of Water Plan 2012-2015	DGS	MSOD	31 December each year
3.5	Fire in natural areas that threatens humans, property and animals	<ul style="list-style-type: none"> Fire Management Plan City undertakes annual responsibilities as per the Bush Fires Act 1955 Chief Bush Fire Control Officer ensures land holders in the district are notified of their obligations Operations Services conduct fire break and fuel reduction activities as directed by the City's Chief Bush Fire Control Officer 	Likely	Major	High	3.5.1 Update Fire Management Plan	DGS	MSOD	June 2015
							DCS	MRPCS	Not applicable

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No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
3.6	Public put at danger from high risk and/or fragile coastal foreshore areas	<ul style="list-style-type: none"> Signs and fencing installed Scheduled and ad-hoc inspections Temporary closures (when required) following inspections External assessments undertaken when required Preventative maintenance undertaken Coastal vulnerability studies undertaken 	Possible	Catastrophic	High	3.6.1 Finalise Coastal Foreshore Management Plan 2014 - 2024	DIS	MOS	30 June 2014
3.7	Illness or injury to the public due to issues of food safety at food businesses within the City	<ul style="list-style-type: none"> Food businesses are risk rated Procedures in place (inspections and enforcement action) City offers free food safety training to all food businesses Food sampling programs undertaken Talks and presentations undertaken on food safety matters 	Possible	Major	Moderate	No further actions required	DPCD	MCRS	Not applicable

4. STRATEGIC AND GOVERNANCE POSITION									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
4.1	Elected body that is unsure of its roles and responsibilities	<ul style="list-style-type: none"> Induction Program Access to legal advice Governance Framework Local Government (Rules of Conduct) Regulations 2007 Code of Conduct Candidate Information Sessions Elected Member policies Meeting procedures Local Law 2013 Short Guides 	Unlikely	Minor	Low	No further actions required	CEO	MG	Not applicable
4.2	City fails to actively engage with the community	<ul style="list-style-type: none"> Community Engagement and Consultation Protocol 	Possible	Medium	Moderate	No further actions required	DGS	MSOD	Not applicable
4.3	Community loses confidence in the City and its Elected Members	<ul style="list-style-type: none"> Regular meeting cycle Strategy Sessions and Briefing Sessions Bi-ennial Local Government elections 	Unlikely	Minor	Low	No further actions required	DGS	MG	Not applicable
4.4	Executive Leadership Team lacks the experience and skills to deliver the Strategic Community Plan	<ul style="list-style-type: none"> Monthly and quarterly review of progress with Managers and Directors 	Possible	Major	Moderate	No further actions required	CEO	N/A	Not applicable
4.5	Negative relations between the Chief Executive Officer and Mayor and Elected Members	<ul style="list-style-type: none"> Governance Framework 	Possible	Minor	Moderate	No further actions required	CEO	N/A	Not applicable
4.6	City's reputation adversely portrayed	<ul style="list-style-type: none"> Experienced Manager Marketing and Communications and media team with strong working relationships with key State wide media outlets Manager and media team monitor and control tight media protocols 	Possible	Medium	Moderate	No further actions required	DGS	MMC	Not applicable

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No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
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4.7	High profile activities / comments by Mayor or an Elected Member of the City have potential to attract negative publicity for the City	<ul style="list-style-type: none"> Code of Conduct Provisions of the Local Government Act 1995 Media Protocol 	Unlikely	Major	Moderate	No further actions required	CEO	N/A	Not applicable
4.8	Misconduct by employees or Elected Members	<ul style="list-style-type: none"> Code of Conduct Local Government (Rules of Conduct) Regulations 2007 Public Interest Disclosure Act 2003 Corruption and Crime Commission Act 2003 Gift Register maintained On-line corporate training 	Possible	Major	Moderate	4.8.1 Develop on-line Code of Conduct training module for employees	DGS	MG	30 March 2014
4.9	Risks associated with social media including: <ul style="list-style-type: none"> Negative campaign harming City's reputation Comments / actions by employees attributed to the City resulting in legal action Release of private, confidential or sensitive information Increased risk of cyber attack Monitoring by City interrupted for a period (staff absence) 	<ul style="list-style-type: none"> Experienced Manager and media team Social media staff protocol and user guidelines for users and Elected Members 	Possible	Major	Moderate	4.9.1 Social Media protocols to be reviewed 12 months after social media launch	DGS	MMC	30 April 2014
4.10	Risks arising from complacency regarding the restructure of local government	<ul style="list-style-type: none"> Monitoring of local government reform activities Lobbying for matters relevant to the City 	Rare	Major	Low	4.10.1 Monitor reform activities relating to operational activities	DGS	N/A	30 June 2015
4.11	Poor intergovernmental relations	<ul style="list-style-type: none"> Regional leadership Appropriate representation on relevant groups and committees 	Possible	Medium	Moderate	No further actions required	CEO	N/A	Not applicable

5. SERVICE DELIVERY AND BUSINESS CONTINUITY									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
5.1	<p>Unable to deliver the Capital Works Program</p> <p>May include, but not be limited to, factors such as financial implications of project creep due to unrealistic expectations of the community; Elected Members' requests</p>	<ul style="list-style-type: none"> Capital Works Committee Capital Works Program subject to continual monitoring and review Capital Works Program subject to scrutiny by Financial Review Taskforce Project Management Framework Facility refurbishments planned and costed two years ahead to improve cost estimates and inform budget Project Management included in Corporate Training Program 	Likely	Medium	Moderate	No further actions required	DIS	MAM MIMS MOS	Not applicable
5.2	Business of the City is interrupted due to unforeseen circumstances (fire, flooding, structural damage etc)	<ul style="list-style-type: none"> Business Continuity Plan being developed Emergency Management Risk Register 	Unlikely	Major	Moderate	5.2.1. Annual review of Business Continuity Plan to be undertaken	CEO	A/MERS	30 June 2015
						5.2.1 Annual desktop recovery exercise and training in emergency response and recovery functions for local government	DIS	MAM	30 June 2014
5.3	Impact on major systems due to failure of information technology systems	<ul style="list-style-type: none"> Information Technology Disaster Recovery Plan Backup and restore to major systems Planned maintenance program Firewalls and virus protection software 	Unlikely	Medium	Moderate	5.3.1 Risk assessment to be undertaken	CEO	A/MERS	31 December 2014
						5.3.2 Annual review to be undertaken	DCS	MIT	31 January each year

6. FINANCIAL AND ECONOMIC									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
6.1	Over reliance on rates revenue and failure to identify alternative income streams places financial sustainability of the City at risk	<ul style="list-style-type: none"> 20 Year Strategic Financial Plan Ongoing review and monitoring Annual progress report to Chief Executive Officer 	Unlikely	Minor	Low	6.1.1 Annual review of 20 Year Strategic Financial Plan	DCS	N/A	September each year
6.2	The delivery and funding of major projects is threatened due to ineffective planning	<ul style="list-style-type: none"> Project Management Framework Capital Works Committee Ongoing review and monitoring of Project Management Framework Monthly and quarterly review of progress by Managers and Directors to Chief Executive Officer 	Unlikely	Medium	Moderate	No further actions required	CEO	N/A	Not applicable
6.3	Failure to meet legal, statutory and contractual financial obligations	<ul style="list-style-type: none"> Ongoing review and monitoring of Project Management Framework Reporting to the Audit Committee 	Rare	Medium	Low	No further actions required	DCS	MFS	Not applicable
6.4	Failure to achieve value for money	<ul style="list-style-type: none"> Purchasing Protocols in place that cover tendering for goods and services, quotations for goods and services, purchasing of goods and services, panel contracts and contract variations 	Possible	Major	Moderate	6.4.1 Develop a Purchasing Policy	CEO	A/MERS	30 June 2014
						6.4.2 Review of purchasing protocols and tender evaluation methods and update where necessary	DCS	MFS	28 February 2014
6.5	Financial loss due to fraudulent activity by employees or contractors	<ul style="list-style-type: none"> Segregation of duties in financial systems Weekly non-compliance purchasing reports 	Possible	Major	Moderate	6.5.1 Undertake a fraud and misconduct risk assessment	CEO	A/MERS	30 June 2015
						6.5.2 Initiate further independent consultant review of purchasing compliance and report to Audit Committee	CEO	A/MERS	10 March 2014
						6.5.3 Undertake a review of system access rights and the responsibilities for creating and assigning profiles to users	DCS	MFS / MIT	31 March 2014
6.6	Missed opportunities to obtain external funding (State and Federal grants, distinct projects or initiatives etc)	<ul style="list-style-type: none"> Dedicated resource to coordinate grants and awards 	Unlikely	Medium	Moderate	6.6.1 Grant Management System to be reviewed	DGS	MSOD	30 June of each year

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No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
6.7	Financial implications from an incident that is not insured or adequately insured	<ul style="list-style-type: none"> Annual reviews with the City's insurance provider (review to be informed by the insurer's claims experience and level of cover) Regular review of claims to ensure all possible incidents are covered 	Possible	Medium	Moderate	No further actions required	DCS	MFS	Not applicable
6.8	Financial loss or failure to achieve the most favourable returns from investments	<ul style="list-style-type: none"> Ongoing review of Investment Policy 	Possible	Medium	Moderate	No further actions required	DCS	MFS	Not applicable
6.9	Lack of progress towards development within the City in a manner that achieves appropriate land use and high quality built form outcomes	<ul style="list-style-type: none"> District Planning Scheme No. 2 being reviewed Local Planning Strategy being reviewed Local Housing Strategy Local Commercial Strategy Joondalup City Centre Activity Centre Structure Plan being developed 	Possible	Medium	Moderate	6.9.1 Implement recommendations of Local Housing Strategy and correct anomalies in Scheme via endorsed Scheme Amendments; continue review of balance of Scheme text	DPCD	MPS	30 June 2014
						6.9.2 Council endorsement of revised Local Planning Strategy	DPCD	MPS	30 June 2014
						6.9.3 Implement Local Commercial Strategy via recommendation in Local Planning Strategy (6.9.2 above) and new Scheme and policy provisions as appropriate (6.9.1 above)	DPCD	MPS	30 June 2014
						6.9.4 Implement Joondalup City Centre Activity Centre Structure Plan	DPCD	MPS	December 2014

7. HUMAN RESOURCES									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
7.1	Unable to attract and retain suitably qualified employees, both for present requirements and changing future requirements	<ul style="list-style-type: none"> Workforce Plan under continual review and amended where necessary Include attractive and competitive conditions in Workplace Agreements Well established recruitment processes 	Unlikely	Medium	Moderate	No further actions required	DGS	MHR	Not applicable
7.2	Loss of business / corporate knowledge	<ul style="list-style-type: none"> Policies, protocols and procedures Record Keeping Plan 2010 (as per the State Records Act 2000) 	Likely	Medium	High	7.2.1 Development of Corporate Knowledge Plan	DGS	MSOD	30 June 2014
						7.2.2 Update Record Keeping Plan in line with legislative requirements	DGS	MG	1 May 2015
7.3	Industrial action impacting on services of the City	<ul style="list-style-type: none"> Workplace Agreements in place, voted by employees and approved by Fair Work Australia prevents industrial action from legally occurring 	Unlikely	Medium	Moderate	No further actions required	DGS	MHR	Not applicable

8. ASSET MANAGEMENT AND INFRASTRUCTURE									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
8.1	Community buildings in disrepair with associated risks to health and value	<ul style="list-style-type: none"> Annual condition assessments undertaken in conjunction with existing building condition audit reports to prioritise Capital Works Program and maintenance response 	Possible	Medium	Moderate	8.1.1 External consultants to be engaged to perform a Building Condition Audit to identify any buildings in unacceptable condition that could cause health and value risks	DIS	MAM	30 June 2014
8.2	Waste reduction targets not being achieved and cost escalations related to the Resources Recovery Facility	<ul style="list-style-type: none"> Attendance at all Mindarie Regional Council meetings Attendance at all officer strategic working group meetings Attendance at all budget and strategic workshops Strategic Waste Minimisation Plan 	Unlikely	Major	Moderate	No further action required	DIS	MIMS	Not applicable
8.3	Cost escalations and profits not realised from Materials Recovery Facility	<ul style="list-style-type: none"> Service being closely managed (expression of interest for new contract published in October 2013) 	Possible	Major	Moderate	8.3.1 New materials recovery contract to be in place	DIS	MIMS	31 January 2015
						8.3.2 Consider new options for recycling	DIS	MIMS	31 January 2015
8.4	Uncertainty, disagreement and lack of planning for the use of Tamala Park post landfill	<ul style="list-style-type: none"> Consultant's preliminary study providing three concepts for post landfill use City representation on Tamala Park Regional Council City representation on Mindarie Regional Council Representation on Tamala Park Regional Council Chief Executive Officers Group 	Possible	Major	Moderate	8.4.1 (Short Term) Fact gathering information on the overall site (short term)	CEO	A/MERS	30 June 2014
						8.4.2 (Long Term) <ul style="list-style-type: none"> Community Consultation Clear consultant scope and briefs Feasibility studies and economic appraisals Develop a Tamala Park Post Landfill Masterplan 	CEO	N/A	Dependent on direction from Tamala Park Regional Council

9. MAJOR COMMERCIAL CITY PROJECTS									
No.	Risks	Current Control Method	Residual Risk Assessment			Further Control Actions Required	Lead Risk Owner		Further Control Action Required By
			Likelihood	Consequences	Overall Risk Level		CEO / Director	Manager	
N.B. This section relates to all projects under the City Projects Business Unit and any other major projects that may be instigated e.g. development of a multi-story carpark									
9.1	Lack of funding from the City and external sources	<ul style="list-style-type: none">Regular information provided to Elected MembersRegular review and update of project plans to ensure accuracy and currency of informationCollaboration with Senior Financial Analyst to ensure projects are reported through the City's relevant platforms (i.e. 20 year Financial Plan)	Possible	Major	High	9.1.1 Liaison with State Government on future funding regime for construction.	CEO <i>City Projects</i>	MCP	Ongoing
							DCS <i>Multi storey carpark</i>	N/A	
9.2	Failure to obtain statutory approval	<ul style="list-style-type: none">Memorandums of UnderstandingRegular liaison with State and Federal GovernmentRegular monitoring by Chief Executive Officer and Manager City Projects	Possible	Major	High	No further action required	CEO <i>City Projects</i>	MCP	Not applicable
							DCS <i>Multi storey carpark</i>	N/A	
9.3	Lack of stakeholder support and negative perceptions from the community	<ul style="list-style-type: none">Regular provision of information and project updates via website, social media and media releasesCommittees and stakeholder groups establishedCommunity Consultation and Engagement Policy and ProtocolsMemorandums of Understanding	Possible	Medium	Moderate	No further action required	CEO <i>City Projects</i>	MCP	Not applicable
							DCS <i>Multi storey carpark</i>	N/A	
9.4	Inadequate consultant performance	<ul style="list-style-type: none">Clear and comprehensive consultant briefsRegular monitoring of consultant activity	Possible	Major	High	No further action required	CEO <i>City Projects</i>	MCP	Not applicable
							DCS <i>Multi storey carpark</i>	N/A	
9.5	Established timeframes for projects not being met	<ul style="list-style-type: none">Project philosophy and parameters developed and endorsed by CouncilProgress of project plans regularly reported to CouncilRegular monitoring by project officers and Manager City Projects	Possible	Medium	Moderate	No further action required	CEO <i>City Projects</i>	MCP	Not applicable
							DCS <i>Multi storey carpark</i>	N/A	