

Business Papers

Risk Management & Audit Committee Meeting

Friday, 29 May 2015
9:00am



Notice of Meeting

To the Lord Mayor and Aldermen

You are invited to attend a Risk Management & Audit Committee Meeting to be held in Meeting Room 1, Level 1, Civic Centre, Harry Chan Avenue, Darwin, on Friday, 29 May 2015, commencing at 9.00 am.

B P DOWD
CHIEF EXECUTIVE OFFICER

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OPEN SECTION

RMAC05/1

CITY OF DARWIN

RISK MANAGEMENT & AUDIT COMMITTEE

FRIDAY, 29 MAY 2015

MEMBERS: Mr Iain Summers (Chairman); Member R K Elix; Member S J Niblock; Mr Craig Spencer.

OFFICERS: Chief Executive Officer, Mr Brendan Dowd; General Manager Corporate Services, Dr Diana Leeder; Team Coordinator Risk Audit & Safety, Mr Tony Simons; Finance Manager, Mr Miles Craighead; Executive Assistant Corporate Services, Ms Misha Peck.

Enquiries and/or Apologies: Misha Peck
E-mail m.peck@darwin.nt.gov.au - PH: 89300 539
OR Phone Committee Room 1, for Late Apologies - PH: 89300 519

Committee's Responsibilities

THAT, pursuant to Local Government Act Part 5.2, and Part 4, section 10(2) (b) of the Local Government (Accounting) Regulations, Council delegate to the Risk Management & Audit Committee the powers to make decisions relating to :

- the follow up of issues arising from internal and external audits;*
- the management of outstanding and completed audit issues registers; and*
- the receipt and acceptance of strategic and operational risk assessments.*

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OPEN SECTION

RMAC05/2

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OPEN SECTION

RMAC05/3

Risk Management & Audit Committee Meeting – Friday, 29 May 2015

1. MEETING DECLARED OPEN

2. APOLOGIES AND LEAVE OF ABSENCE Common No. 2695036

2.1 Apologies

2.2 Leave of Absence Granted

Nil

3. ELECTRONIC MEETING ATTENDANCE Common No. 2221528

3.1 Electronic Meeting Attendance Granted

Nil

4. DECLARATION OF INTEREST OF MEMBERS AND STAFF

4.1 Declaration of Interest by Members

4.2 Declaration of Interest by Staff

5. CONFIDENTIAL ITEMS

Nil

OPEN SECTION

RMAC05/4

Risk Management & Audit Committee Meeting – Friday, 29 May 2015

6. WITHDRAWAL OF ITEMS FOR DISCUSSION

THAT the Committee resolve under delegated authority that all Information Items and Officers Reports to the Risk Management & Audit Committee Meeting held on Friday, 29 May 2015 be received and considered individually.

7. CONFIRMATION OF MINUTES PERTAINING TO THE PREVIOUS RISK MANAGEMENT & AUDIT COMMITTEE MEETING

THAT the Committee resolve that the minutes of the previous Risk Management & Audit Committee Meeting held on Friday, 27 March 2015, tabled by the Chairman, be received and confirmed as a true and correct record of the proceedings of that meeting.

8. BUSINESS ARISING FROM THE MINUTES PERTAINING TO THE PREVIOUS RISK MANAGEMENT & AUDIT COMMITTEE MEETING

8.1 Business Arising

**ENCL: RISK MANAGEMENT & AUDIT
YES COMMITTEE/OPEN**

AGENDA ITEM: 9.1

REPORT ON RECORDS MANAGEMENT REVIEW

REPORT No.: 15A0070 KS:mp

COMMON No.: 3027964

DATE: 29/05/2015

Presenter: Manager Records, Karlheins Sohl

Approved: General Manager Corporate Services, Diana Leeder

PURPOSE

The purpose of this report is to present to the Risk Management and Audit Committee (RMAC) the implementation timeline of identified projects to do with audit issues arising from the review of Records Management.

LINK TO STRATEGIC PLAN

The issues addressed in this Report are in accordance with the following Goals/Strategies of the City of Darwin 2012 – 2016 as outlined in the 'Evolving Darwin Towards 2020 Strategic Plan':-

Goal

5 Effective and Responsible Governance

Outcome

5.1 Quality service

Key Strategies

5.1.1 Provide quality service outcomes by ensuring that Council's processes and systems are effective and efficient

5.2.1 Attract, develop and retain a skilled workforce that is flexible and adaptable

5.3.3 Understand and manage Council's risk exposure

KEY ISSUES

- Audit of EDRMS was undertaken by Latitude 12 during 2014 and a number of recommendations arose therefrom.
- Recommendations arising from the audit are being addressed by the General Manager Corporate Services and Records Manger in conjunction with a comprehensive review of the performance of the Records Management Unit.
- At its March 2015 meeting, RMAC requested that an implementation timeline of identified projects arising from the audit be presented at its May meeting 2015.

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REPORT NUMBER: 15A0070 KS:mp
SUBJECT: REPORT ON RECORDS MANAGEMENT REVIEW

RECOMMENDATIONS

THAT the Committee resolve under delegated authority:-

THAT Report Number 15A0070 KS:mp entitled Report On Records Management Review, be received and noted.

BACKGROUND

In 2014 an external review of Council's Records Management Function was conducted by audit firm Latitude 12.

A number of issues were identified and following the appointment of a new Records Manager in November 2014 it was agreed that implementation of audit recommendations would be incorporated with, and addressed by a total review of the Records Management Unit.

DISCUSSION

The preliminary work on the review of the Records Management Unit has established an implementation plan and timeline with four objectives for the Records Management Unit to achieve between 2014 / 2017. This plan, along with the implementation timeline, is appended to this report (**Attachments A** and its appendix).

CONSULTATION PROCESS

Nil – information for this report has been drawn from the Records Management Unit review plan.

POLICY IMPLICATIONS

Nil.

BUDGET AND RESOURCE IMPLICATIONS

Nil – The review will be managed within existing financial and human resources.

RISK/LEGAL/LEGISLATIVE IMPLICATIONS

Nil.

ENVIRONMENTAL IMPLICATIONS

Nil.

PAGE: 3
REPORT NUMBER: 15A0070 KS:mp
SUBJECT: REPORT ON RECORDS MANAGEMENT REVIEW

COUNCIL OFFICER CONFLICT OF INTEREST DECLARATION

We the Author and Approving Officers declare that we do not have a Conflict of Interest in relation to this matter.

KARLHEINS SOHL
MANAGER RECORDS

DIANA LEEDER
GENERAL MANAGER
CORPORATE SERVICES

For enquiries, please contact Karlheins Sohl on 8930 0405 or email:
k.sohl@darwin.nt.gov.au.

Attachments:

- Attachment A:** RMU Business Plan 2014 – 2017
Attachment B: RMU Business Plan - Quarter 2 2015 progress report
Attachment C: RMU Business Plan - Implementation Timeline

City of Darwin

Records and Information Management

Business Plan 2014 - 2017

Introduction

Records Management ensures that records are systematically and efficiently: created, captured and described, secured, stored and preserved for as long as they are needed, destroyed or transferred once they no longer have any residual business value.

National Archives of Australia 2013

In response to this requirement, the Records Management section of the City of Darwin has formulated a business plan to cover the period 2014 to 2017. The purpose of this plan is to outline the short, medium and long term goals of the Council's Records Management section and has been developed within the context of the Council's Records and Information Management Policy – 057. This policy states:

"The Council will maintain an Electronic Document and Records Management System (EDRMS) for the management of its records in all media (excluding records held in core business information systems). The key processes managed by this system will include:

- The capture and storage of authentic, reliable and useable records;*
- Security and access to such records; and*
- The disposal of records in accordance with the Council's authorised retention and disposal schedule.*

The Council is also committed to the integration of records considerations into future business process changes and business systems development in order to maintain records management integrity. This will be achieved through the addressing of records considerations at every stage of the system development lifecycle."

The plan also draws on areas for improvement identified through the Council's approved Corporate Services Department Operational Risk Assessment V3 October 2013 document.

Link to Strategic Plan

The plan is aligned to the City of Darwin Strategic Plan, “Evolving Darwin: Towards 2020”, and in particular:

Goal 5 – Effective and Responsible Governance

Outcome 5.1	Quality Service	
Key Strategy 5.1.1	Provide quality service outcomes by ensuring that Council’s systems and processes are efficient and effective	
Outcome 5.2	Quality People	
Key Strategy 5.2.1	Attract, develop and retain a skilled workforce that is flexible and adaptable	
Outcome 5.3	Good Governance	
Key Strategy 5.3.3	Understand and manage Council’s risk exposure	

Key Issues

The records management section of Council has not had a formal business plan in place for an extended period of time. Due to the importance of Records Management as a core Council function and the criticality of complying with a large amount of legislation and standards, the content of the plan is aimed at addressing the following issues:

- Provide a guide for the Records Management section of Council as to what activities are necessary to ensure strategic plan objectives are met in short, medium and long term
- Provide a tool to communicate to senior management the commitment and focus of the records management section and it’s functions and how it will support other business areas of Council in fulfilling their records management obligations
- Address ongoing operational risks as identified by the Risk Management and Audit Committee (RMAC)

Objectives

After analysis of the business environment in CoD, four objectives have been identified as being the keys to successful records management:

Records Management Business Plan Objectives	
OBJECTIVE 1	City of Darwin meets its legislated requirements for records management
OBJECTIVE 2	Records management business unit structure supports the business and Council
OBJECTIVE 3	Develop a positive and proactive records management culture and practices across all levels of council
OBJECTIVE 4	Maximise efficiency and effectiveness of records management systems

*Refer to Attachment A to further details on the objectives.

Recordkeeping System

It is important to account for all types of recordkeeping systems and practices to ensure, on an ongoing basis, that the business of Council is always linked to Records Management requirements.

In 2010, National Archives of Australia created a document for use by all Australian Government agencies named Check-up 2.0. It is a tool used for assessing agency information and records management and can be applied to CoD to our advantage:

- what are the strengths and weaknesses in CoD's information and records management
- what are the areas of high risk where information and records management needs extra attention
- what priorities should CoD place on areas that need attention
- assist with building a case for resources and initiatives
- provide a mechanism to report to senior management on how well CoD is managing it's records
- assist with planning and developing strategies, policies, procedures and training materials

In applying the Check-up 2.0 tool to CoD, an understanding and perspective of ALL record keeping systems is needed.

Primary Recordkeeping System

Technology One Enterprise Content Management system (ECM) enables the council to efficiently capture, store, use and manage information. ECM is the primary recordkeeping system of Council, however some secondary systems are also used, as the function of creating and capturing “records” often involves specialist systems.

Secondary Recordkeeping Systems (Business Systems)

1. Authority – The Authority Enterprise Software Suite for Local Government is a product of Civica and is designed specifically for the Local Government industry to manage financial and property records.
2. BIS – An auxiliary financial product that manages budget information
3. City Manager – A facilities booking system for the management of Council resources
4. Exponaire – The Corporate mapping tool storing geospatial data
5. Intranet (Barry) – Repository for internal forms, documents and other information
6. Network drives – Server storage of various documentation
7. Exchange Email – Personal and Generic mail box message storage
8. Interplan – Corporate Strategic planning information

Proposed Recordkeeping Systems (Business Systems)

The Council is also committed to the integration of records considerations into future business process changes and business systems development in order to maintain records management integrity. This will be achieved through the addressing of records considerations at every stage of the system development lifecycle.

Strengths, Weaknesses, Opportunities and Threats

To further analyse the current status of the record keeping section and its activities, a SWOT analysis was undertaken and the findings summarised in the succeeding table:

Risk Assessment

Some general risks that are anticipated in implementing this business plan include:

- Cultural issues
- Resource issues (including availability of skills)
- Management support
- Supporting IT Infrastructure Issues
- Ongoing commitment
- Deadlines and timeframes
- Quality targets

Current risk reporting is undertaken through the annual Control Self Assessment process. It is anticipated that the current risks will be mitigated by the new objectives identified in the proposed activities for 2014 – 2017 as described in the succeeding table:

Strategic Analysis of Recordkeeping (SWOT)



Strengths - ECM (current electronic recordkeeping system) - Good Guidelines - Good Training Package - Records Staff (knowledge, skill and technical expertise) - Good Records Leadership - Comprehensive Retention and Disposal Schedule - Established relationships with Governing bodies – NT Archives, NTG Records Policy Unit	Weaknesses - Staff Culture - Lack of centralised control - Knowledge of Records Management - Lack of Management Support - Robust Training package - Having to manage the Switch Board - No dedicated Training Officer - Organisation Chart for Records - Lack of clarity around job roles - Lack of integration - Business Systems – understanding requirements - Staff don't understand some ECM functionality - High dependence / reliance on paper
Opportunities - To position records as an essential business function - Utilise the Intranet for Communication - Improve the interface and integration of the ECM - Clean up email accounts - Customise ECM ie Common Number - Use of Existing functionalities - Review and expand records framework - Broaden Training topics, methods and audiences - Create a Digital Transition Policy	Threats - Staff Turnover of key staff members - Lack of Business Continuity Plans - Lack of compliance to legislation - Risk of litigation - Privacy implications - Records cannot be found - Personal emails are maintained for corporate email records - Digital records disposal requirements

Risk Assessment Table (City of Darwin – Corporate Services Department – Operational Risk Assessment - Records Management)			
Ref:	Risk and Consequence		Internal Control
49	Failure to develop and embed a strong records management culture across the organisation		Objective 3
50	Records management system does not adequately address the requirements of business departments and or legislation		Objective 1 Objective 4
51	Inappropriate security level applied to records		Objective 3.4
52	Failure to follow file structure rules, thesaurus and naming conventions		Objective 3
53	Failure to ensure staff are trained in EDRMS		Objective 3
54	Inadvertent disposal of file presents Certificate of Destruction from providing evidence to justify actions, prove compliance with legislative requirements, satisfy audit requirements		Objective 3
55	Disposal schedules are not updated to reflect legislative or other change which may impact on disposal date		Objective 3.5
56	Appraisal process is inadequate resulting in records being destroyed in contravention of authorised retention and disposal schedules.		Objective 3.5 Objective 1.3
57	Failure to ensure Mail and Courier services are delivered in accordance to current SLA		Objective 2.4
60	Switchboard equipment/systems failure		Objective 3.6 Objective 2.6
61	Reliance on limited numbers of staff with key competencies as regards provision of switchboard services during business hours		Objective 2.6
62	Failure to ensure all relevant staff are provided training in the processing of applications for information (FOI)		Objective 1.4 Objective 3.7

Human Resources

To put the proposed implementation plan into effect it is recommended that existing staff members of the Records Management Team project manage and implement this plan. Positions should have experience in records management and project management as well as have excellent communication and consultation skills.

Positions	Project Positions	Staff Member
General Manager Corporate Services	Executive Sponsor	Diana Leeder
Acting Records Coordinator	Project Manager	Tracey Hehir
Records Administrator	Project Officer	Bernadett Howison

Reporting Requirements

On the first day of each month the project manager will report to the executive sponsor on progress and deliverables.

Consultation Process

In preparing this business plan, the following City of Darwin officers were consulted

Position	Staff Name
General Manager Corporate Services	Diana Leeder
Business Manager	Liam Carroll
Acting Records Coordinator	Tracey Hehir
Risk and OHS Advisor	Tony Simons
External Consultant from Latitude 12	Angie Mayo

Glossary of Terms

Term	Meaning
CoD	City of Darwin
COG	Chief Officers Group
CSA	Control Self-Assessment
ECM	Enterprise Content Management
FOI	Freedom of Information

Chief Executive Officer Approval

Records Management is mandated clearly in the following legislation:

The Northern Territory Information Act – Part 9 – Records and archives management:

131 Duties of chief executive officers

(1) *The chief executive officer of a public sector organisation has a duty to ensure that the organisation complies with this Part.*

131A Records functions

The records functions are:

- (a) *to prepare, promote and monitor compliance with records standards; and*
- (b) *to facilitate and promote policy and systems to enable cost effective compliance with records standards; and*
- (c) *to provide advice (including training) to enable compliance with records standards; and*
- (d) *to facilitate the preparation of records retention and disposal schedules.*

The Northern Territory Local Government (Administration) Regulations - Part 5 - Records

11 Council to keep registers

- (1) *A council must keep a register containing copies of all documents executed under the council's common seal.*
- (2) *A council must keep a register of correspondence containing copies of all correspondence addressed to, or sent by, the council or its principal member.*
- (3) *A council must keep a register of the results of all elections and polls.*
- (4) *A register must be kept under this regulation by computer.*

Supported / Not Supported

Approved / Not Approved

Manager, Business Systems

Chief Executive Officer

Date: / /2014

Date: / /2014

Appendices:

Attachment A Records Management Business Plan – Objectives

Records Management Plan Objectives

OBJECTIVE ONE : ENSURE THAT THE CITY OF DARWIN MEETS ITS LEGISLATED REQUIREMENTS FOR RECORDS MANAGEMENT						
All members of staff must understand that Council's has a legislated requirement to capture and manage records under the Local Government Act and Regulations, Council By-laws; and other relevant Acts. To ensure legislated requirements are met, the nature of all records must be clearly defined, along with a determination of what legally constitutes a "record". Communication of obligations under the relevant Acts needs to be accurate, timely and tailored for various groups of staff						
#	Strategy	Deliverables	Responsible Officer	Time frame	Priority	Comments
1.1	Ensure the Records Management Policy outlines responsibilities and obligations for all staff managing records of the Council - the Information Act, Local Government Act, Local Government (Administration) Regulations - the Records Management Standards for Public Sector Organisations in the Northern Territory. - Other applicable legislation	- Review the "Records and Information Management Policy" (document no.2120044) - Ensure policy guidelines are still accurate - Ensure processes are in place for the delivery of policy statements - Integration of records considerations into Business systems development life cycle ie. compliance with ISO:16175 - Sign off by Chief Officers Group (COG)	TH	S	S1	
1.2	Create a records management framework, strategy and architecture document that address longer term visions and strategies	- Governance Framework that guides records management functions into the future - Regular reporting and presentations to Chief Officers Group (COG)	TH	S	S1	
1.3	Identify and document all relevant legislation, regulations, standards and formal directives and their associated recordkeeping requirements	- Business practices comply with legislation and ISO and AS/NZS records management standards - Revised and improved risk analysis for Records Management - Improved control framework through Control Self-Assessment (CSA)	TH BH	S	S2	
1.4	Ensure compliance with Privacy and Freedom of Information (FOI) requirements for records across all information platforms	Updated procedure for FOI and privacy requests	TH BH	S	S3	

Records Management Plan Objectives

OBJECTIVE 2 THE RECORDS MANAGEMENT BUSINESS UNIT STRUCTURE SUPPORTS THE BUSINESS AND COUNCIL - If Council is to be successful in meeting it legislated requirements then the management of records should be undertaken by a dedicated business unit. - Re-branding will help to position Records Services as the subject experts. - A workable organisation structure must be implemented and resource numbers and remuneration must be adequate to ensure the right people are in place, job satisfaction is achieved, and the opportunities for staff satisfaction and retention are maximised. - Staff retention and turnover has historically been an issue for the business unit in its current form. Succession planning is required. - Provision of switchboard services is an important role which needs to be recognised as its own core function, and not be confused with records management processes.						
#	Strategy	Deliverables	Responsible Officer	Time frame	Priority	Comments
2.1	Update records management practices, procedures and business rules to ensure the capture of all forms of records received, sent and managed by CoD, including email, texts and social media	- Updated Procedures - Updated Business Rules - Procedures and Business rules reflect best recordkeeping practices - Sign off by Chief Officers Group (COG)	BH	S	S2	
2.2	Investigate better management of de-centralised Records Management and re-branding of the business unit	- Business case to support improved records management practises - Consistency of records practices across the organisation - All records being captured and managed appropriately	TH BH	M	M3	
2.3	Review current organisation structure	- Revised, workable organisation Chart - Revised Job Descriptions - Structure better supports delivery of business	TH	S	S1	
2.4	Develop a records management service charter	- Service charter - Service levels - KPIs - Clearer understanding across the organisation as to the services provided by Records Management - Sign off by Chief Officers Group (COG)	TH	S	S2	

Records Management Plan Objectives

OBJECTIVE 2 THE RECORDS MANAGEMENT BUSINESS UNIT STRUCTURE SUPPORTS THE BUSINESS AND COUNCIL

- If Council is to be successful in meeting it legislated requirements then the management of records should be undertaken by a dedicated business unit.
- Re-branding will help to position Records Services as the subject experts.
- A workable organisation structure must be implemented and resource numbers and remuneration must be adequate to ensure the right people are in place, job satisfaction is achieved, and the opportunities for staff satisfaction and retention are maximised.
- Staff retention and turnover has historically been an issue for the business unit in its current form. Succession planning is required.
- Provision of switchboard services is an important role which needs to be recognised as its own core function, and not be confused with records management processes.

#	Strategy	Deliverables	Responsible Officer	Time frame	Priority	Comments
2.5	Ensure the skill levels of employees are sufficient to support the business unit and the organisation through succession planning and recognising staff as subject matter experts.	• Staff learning and development plans • Updated procedures and work instructions • Improved skill levels of staff • Review internal processes within Records Services for induction and training	BH	M	M4	
2.6	Create dedicated position description for switchboard officer	• Improve delivery of switchboard services provided at the civic centre • Consideration of other business unit switchboard needs • Recommend changes to current telephone system that will support requirements of public and staff into the future	TH	S	S1	

Records Management Plan Objectives

OBJECTIVE 3 DEVELOP A POSITIVE & PROACTIVE RECORDS MANAGEMENT CULTURE & PRACTICES ACROSS ALL LEVELS IN COUNCIL End users of the system must understand the legislated and organisational requirements for records management and their roles and responsibilities to ensure compliance End users will receive mandated training and ongoing support Policy and procedures should be used to support existing knowledge base, and training and development programs, and should be targeted at the business unit and also system users across the organisation.						
#	Strategy	Deliverables	Responsible Officer	Time frame	Priority	Comments
3.1	Ensure organisational wide communication is undertaken for records management	Records Management Communication and Change Management Plan	TH BH	M	M1	
3.2	Gain an understanding of the level of acceptance/current barriers for acceptance of records management practices across the council.	Create a survey and conduct it across Council business units	BH	S	S2	
3.3	Implement quality control of staff record keeping practices	- Quality Assurance Plan - Improved quality of records entered by users - Updated risk analysis and improved testing through CSA	BH	M	M3	
3.4	Review Security and Access Controls to achieve improved access to records	- Documented ECM Security Matrix - Create a Security and Access Policy	BH	S	S1	
3.5	Develop a project plan to review disposal of records to ensure better management of records	Project Plan for Disposal of Hardcopy and Electronic records	BH/TH	L	L1	
3.6	Develop and implement business continuity and disaster recovery plans to ensure the Council can capture records post disaster	Business Continuity plans implemented and reviewed annually	TS TH	L	L1	
3.7	Review current training programs and ongoing support models across Council ensuring continuous improvement for records management	- Propose a dedicated officer to deliver relevant training to different stakeholders - Develop a Records Management training Program including ongoing support model - Survey ECM registration levels to demonstrate a greater understanding by users	BH	M	M5	

Records Management Plan Objectives

OBJECTIVE 4 MAXIMISE EFFICIENCY AND EFFECTIVENESS OF RECORDS MANAGEMENT SYSTEMS • Maximise the efficiencies and benefits of systems that interface, to reduce double handling, potential for duplication and reduction of transcription errors when entering data manually from one system to another • Implement a robust procedure that ensures that changes to current business practices maintains compliance of records produced from that process ie. Legislation, Standards and procedures are applied to new and changed systems and processes						
#	Strategy	Deliverables	Responsible Officer	Time frame	Priority	Comments
4.1	Review current ECM functionality to ensure full utilisation of capability is achieved	• Discussion paper on available functionalities and how the Council could benefit	BH	L	L5	
4.2	Review the Integration with ECM and Authority to improve on efficiencies in capturing and retrieval of records	• Business Case on opportunities for further integration	BH	L	L6	
4.3	Ensure existing and new business systems have a compliant records management component.	• Compliance Checklist to be completed for each new Business System / Process • Endorsed Memorandum of Understanding between Records Management and the IT Strategic Leadership Group	BH/TH	L	L1	
4.4	Reduce dependence on network folders and free up server space	• Review the use of network folders for storage of records and information • Business rules for document storage	BH	L	L3	
4.5	Review records management implications relating to the use of Social Media	• Position Statement on Social Media as Corporate Records	TH	L	L7	
4.6	Review use of Intranet for storage of information and records and free up server space	• Business rules for document storage	TH/BH	L	L4	
4.7	Review current use of generic email accounts to look for opportunities for consolidation and reduced risk of unregistered emails	• Discussion paper regards making greater use of generic team email addresses for work purposes	TH/BH	S	S3	
4.8	Review status of personal email accounts to mitigate risks of unregistered emails	• Communicate to managers the current status of staff emails • Create an action plan to reduce and minimise amount of emails not registered • Make recommendations to business units on how to improve usage or change processes	TH/BH	S	S3	

1 – 6 months
6 – 18 months
18 months – 3 years

SHORT
MEDIUM
LONG

Records Management Plan Objectives

OBJECTIVE 4 MAXIMISE EFFICIENCY AND EFFECTIVENESS OF RECORDS MANAGEMENT SYSTEMS - Maximise the efficiencies and benefits of systems that interface, to reduce double handling, potential for duplication and reduction of transposition errors when entering data manually from one system to another - Implement a robust procedure that ensures that changes to current business practices maintains compliance of records produced from that process ie. Legislation, Standards and procedures are applied to new and changed systems and processes						
#	Strategy	Deliverables	Responsible Officer	Time frame	Priority	Comments
4.9	Review status of task lists and workflows and implement changes in consultation	- Communicate to managers the current status of staff task lists - Create an action plan to reduce and minimise amount of tasks not actioned - Create a register of workflows and responsible officers - Make recommendations to business units on how to improve usage or change processes Implement new initiative for workflows	BH/TH	M	M1	
4.10	Reduce dependence on paper	Create Digital Transition and Continuity Plans	TH	L	L8	
4.11	Implement changes to CAR process	- Improved interaction/notification to public via reference number advice - Integrate "Darwin Click Fix" process Implement new initiative for webforms	BH/TH	M	M1	



2015/17 R&IM Plan Implementation Schedule

2015 Quarter 2 Progress update

Produced 14th June 2015 by

Karlheins Sohl
Records Manager
Records Management Unit
City of Darwin

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Overview of 2015/17 R&IM Plan implementation schedule

In 2014 a review of the City of Darwin's Records and Information Management (R&IM) function was conducted and produced both findings and recommendations for bodies of work which should be undertaken to resolve a range of R&IM issues. The purpose of this implementation schedule is to provide additional definition and context to the 2015/16 R&IM Plan that was produced as a result of the review.

42 activities have been grouped into eight projects covering the four main objectives of the 2014 R&IM and are proposed to be undertaken over a three year period between January 2015 and December 2017 and culminating in a sequential R&IM review to ensure that the issues identified in the first R&IM review have been addressed.

The resources and capacity required to undertake these projects are available within the RMU with the exception of involvement required from the I.T. department to undertake the ECM upgrade project in mid to late 2015.

By implementing the projects of this schedule and resolving the recommendations of the 2015/16 R&IM plan, the City of Darwin is ensuring that it is working towards accurate, efficient and accountable information practices, meeting legislative framework requirements, and providing robust systems and support to enable staff to meet their records keeping requirements.

Objective 1 - Ensure that the City of Darwin Meets its Legislated Requirements for Records Management

- All members of staff must understand that Council's has a legislated requirement to capture and manage records under the Local Government Act and Regulations, Council By-laws; and other relevant Acts.
- To ensure legislated requirements are met, the nature of all records must be clearly defined, along with a determination of what legally constitutes a "record".
- Communication of obligations under the relevant Acts needs to be accurate, timely and tailored for various groups of staff

Project A - Progress Council towards R&IM legislative compliance		
Description:		
Activity 1.3 – Identify specific legislation, regulations and standard requirements and document to create a clear R&IM framework for CoD Sub-activities:	01/01/2015 – 30/06/2017	Activity update - 13/05/2015: Initial industry standard compliance requirements identified. Council specific compliance requirements need to be investigated in consultation Business Units.
Activity 1.1 – Ensure R&IM Policy outlines staff responsibilities Sub-activities:	01/01/2015 – 30/06/2015	Activity update - 13/05/2015: in drafting process between Records Manager and Corporate Services General Manager.
Activity A.2 – Develop Council staff exit policy to ensure R&IM compliance is meet Sub-activities:	01/04/2015 – 30/09/2015	Activity update - 13/05/2015: Investigation of requirements complete. Policy amendments being drafted with PCC & IT.
Activity 1.4 – Ensure Privacy & FOI compliance across all information systems. Sub-activities:	01/010/2016 – 31/12/2017	Activity update - 13/05/2015: Activity not yet begun
Activity 1.2 – Create R&IM framework & vision document. Sub-activities:	01/01/2016 – 30/06/2016	Activity update - 13/05/2015: Activity not yet begun

Activity A.1 – Undertake compliance audit from external R&IM authority	01/07/2017 – 31/12/2017	Activity update - 13/05/2015: Activity not yet begun
Sub-activities:		

Objective 2 - The Records Management Business Unit Structure supports the Business and Council • If Council is to be successful in meeting it legislated requirements then the management of records should be undertaken by a dedicated business unit. • Re-branding will help to position Records Services as the subject experts. • A workable organisation structure must be implemented and resource numbers and remuneration must be adequate to ensure the right people are in place, job satisfaction is achieved, and the opportunities for staff satisfaction and retention are maximised. • Staff retention and turnover has historically been an issue for the business unit in its current form. Succession planning is required. • Provision of switchboard services is an important role which needs to be recognised as its own core function, and not be confused with records management processes.		
Project B - Develop RMU services & capabilities Description:		
Activity 2.5 – Ensure the skill levels of employees are sufficient to support the business unit and the organisation through succession planning and recognising staff as subject matter experts. Sub-activities:	01/01/2015 – 30/12/2016	Activity update - 13/05/2015: Staff are being progressively trained in new areas of R&IM such as archiving and batch document formatting.
Activity Activity 2.3 – Review current organisation structure. Sub-activities:	Completed 01/01/2015	Activity update - 13/05/2015: Completed in 2014 Quarter 4.
Activity 2.4 – Develop Charter Service. Sub-activities:	Completed 01/01/2015	Activity update - 13/05/2015: Completed in 2014 Quarter 4.
Activity 2.6 – Dedicated switch operator. Sub-activities:	Decided against – 01/01/2015	Activity update - 13/05/2015: In consultation with Corporate Services General Manager, this activity was decided against in 2014 Quarter 4.

Activity B.1 – Update RMU documentation to reflect new version of ECM. Sub-activities:	01/07/2015 – 31/12/2015	Activity update - 13/05/2015: Activity not yet begun
Activity 2.2 – Investigate better mgmt. of decentralised R&IM and re-branding of the RMU. Sub-activities:	01/10/2015 – 31/12/2016	Activity update - 13/05/2015: Activity not yet begun
Activity B.2 – Develop workflow reporting services to business units. Sub-activities:	01/01/2016 – ongoing function of RMU	Activity update - 13/05/2015: Activity not yet begun
Activity 2.1 – Update all procedures to ensure all records a captured. Sub-activities:	01/01/2016 – 30/06/2016	Activity update - 13/05/2015: Activity not yet begun

Objective 3 - Develop a positive & proactive Records Management Culture & Practices across all levels in Council

- End users of the system must understand the legislated and organisational requirements for records management and their roles and responsibilities to ensure compliance
- End users will receive mandated training and ongoing support
- Policy and procedures should be used to support existing knowledge base, and training and development programs, and should be targeted at the business unit and also system users across the organisation.

Project C - Develop Council's retention and disposal capabilities and compliance		
Description:		
Activity 3.5 – Develop a project plan to review disposal of records to ensure better management of records.	01/01/2015 – ongoing function of RMU	Activity update - 13/05/2015: Currently developing retention mapping to identify R&D compliance gaps (what Council functions are missing retention schedule and archiving process).
Sub-activities:		
Activity 3.4 – Review record security and access controls.	01/04/2015 – 31/12/2015	Activity update - 13/05/2015: ECM document classes are currently being audited to identify refinement opportunities.
Sub-activities:		
Activity 3.6 – Develop R&IM components of councils Disaster Recovery Plan.	01/01/2016 – 30/06/2016	Activity update - 13/05/2015: Activity not yet begun
Sub-activities:		
Project D - Progressively review Business Unit procedures for R&IM compliance and opportunities.		
Description:		
Activity 3.3 – Implement quality control of staff R&IM practices.	01/01/2017 – 30/06/2017	Activity update - 13/05/2015: Document Conventions Register and EDRMS schema in development as prerequisite to quality control activities.
Sub-activities:		
Activity 3.2 – Council wide R&IM survey.	01/07/2016 – 31/12/2016	Activity update - 13/05/2015: Activity not yet begun
Sub-activities:		

Project E – Process all information silos and backlogs. Description: Identify and process all backlogs, silos and lodgements of inactive records both electronically and physically			
Activity E.1 – Sentence and transfer all archived records from Iron Mountain to Grace. Sub-activities:	01/01/2015 – Ongoing into 2017	Activity update – 13/05/2015: RMU Staff learning how to process un-sentenced archival material to assist the Principle Archivist with activity.	
Activity E.2 – Process inactive interim hardcopy archival records. Sub-activities:	01/01/2015 – 30/12/2015	Activity update – 13/05/2015: RMU Staff learning how to process un-sentenced archival material to assist the Principle Archivist with activity.	
Activity E.3 – Process Business Unit identified network drives ready for appraisal and capture. Sub-activities:	01/01/2016 – 31/12/2017	Activity update – 13/05/2015: Activity not yet begun	
Project F – Develop an R&IM training and culture schedule Description: Develop an organisation wide R&IM training and culture development schedule.			
Activity F.1 – Develop new training material & procedures for new version of ECM. Sub-activities:	01/04/2015 – 30/09/2015	Activity update – 13/05/2015: New training material, including presentations, manuals, etc in development with R&IM refresher workshops scheduled to start mid-June.	
Activity 3.7 – Review current training programs & support models across Council ensuring continuous R&IM improvement.	01/04/2015 – 31/12/2015	Activity update – 13/05/2015: Material being reviewed.	

Sub-activities:			
Activity F.2 – Run proactive ECM user training course and R&IM workshops for staff and Business Units. Sub-activities:	01/10/2015 – ongoing function of RMU	Activity update - 13/05/2015: Activity not yet begun	
Activity 3.1 – Develop a R&IM communication plan for Council to develop culture. Sub-activities:	01/01/2016 – 30/06/2016	Activity update - 13/05/2015: Activity not yet begun	

Objective 4 - Maximise efficiency and effectiveness of Records Management systems

- Maximise the efficiencies and benefits of systems that interface, to reduce double handling, potential for duplication and reduction of transposition errors when entering data manually from one system to another
- Implement a robust procedure that ensures that changes to current business practices maintains compliance of records produced from that process ie. Legislation, Standards and procedures are applied to new and changed systems and processes

Project G - Audit, upgrade and enhance Council's EDRMS Description:			
Activity G.1 – Undertake upgrade of ECM System from version 4.02 to 4.03. Sub-activities:	01/01/2015 – 30/09/2015	Activity update - 13/05/2015: Upgrade quote received from vendor. Roll out dates currently being negotiated with IT, RMU and Vendor. Test environment scheduled to come online in next 1-2 months.	
Activity G.2 – Undertake progressive audit, cleaning and refinement activities of EDMRS database. Sub-activities:	01/01/2015 – Ongoing function of RMU	Activity update - 13/05/2015: QAP functionality audited and updated. Document classes scheduled to start mid-June.	

Activity G.3 – Establish Business Classification Scheme (BCS) Sub-activities:	01/01/2015 – Ongoing function of RMU	Activity update - 13/05/2015: BCS approximately 30% complete. Various sections of the BCS have been successfully integrated into DCR.
Activity 4.9 – Review task lists to improve R&IM and reduce risk. Sub-activities:	01/01/2015 – 30/06/2016	Activity update - 13/05/2015: Development of task list routing has begun to be mapped out in DCR.
Activity G.4 – Publish 2015 EDRMS Schema. Sub-activities:	01/07/2015 – 31/12/2015	Activity update - 13/05/2015: Activity not yet begun
Activity 4.1 – Review Current ECM functionality to ensure full utilisation of system. Sub-activities:	01/10/2015 – ongoing function of RMU	Activity update - 13/05/2015: Activity not yet begun
Activity G.5 – Develop committee reports. Sub-activities:	01/01/2016 – 30/03/2016	Activity update - 13/05/2015: Activity not yet begun
Activity 4.11 – Implement new CAR process. Sub-activities:	01/04/2016 – 30/06/2016	Activity update - 13/05/2015: Activity not yet begun
Activity 4.10 – Reduce paper dependency. Sub-activities:	01/07/2016 – 31/12/2017	Activity update - 13/05/2015: Activity not yet begun
Activity 4.6 – Review use of Intranet for storage of information and records and free up server space. Sub-activities:	01/07/2016 – 30/12/2016	Activity update - 13/05/2015: Activity not yet begun

Project H - Review peripheral information silos and begin migrating Business Unit's into ECM. Description:			
Activity 4.5 – Review R&IM implications relating to Social Media systems. Sub-activities:	01/03/2015 – 30/09/2015	Activity update - 13/05/2015: Advice to Mark Blackburn regarding social media, including Yammer, Twitter, Facebook in development and scheduled to be submitted late June.	
Activity 4.8 – Review status of personal email account to reduce R&IM risk. Sub-activities:	01/01/2016 – 31/12/2017	Activity update - 13/05/2015: Activity not yet begun	
Activity 4.7 – Review use of email accounts to reduce R&IM risk. Sub-activities:	01/01/2016 – 31/12/2017	Activity update - 13/05/2015: Activity not yet begun	
Activity 4.3 – Ensure new and existing business systems have a compliant Records Management component. Sub-activities:	01/01/2016 – 31/12/2017	Activity update - 13/05/2015: Activity not yet begun	
Activity 4.4 – Reduce dependence on network folders and free up server space. Sub-activities:	01/01/2016 – 31/12/2017	Activity update - 13/05/2015: Activity not yet begun	
Activity 4.2 – Review ECM's integration with Authority for R&IM improvements. Sub-activities:	01/01/2016 – 31/12/2017	Activity update - 13/05/2015: Activity not yet begun	

Objective 1

Ensure that the City
of Darwin Meets its
Legislated
Requirements for
Records
Management

[illegible]

Objective 2

The Records Management Business Unit Structure supports the Business and Council

	2015-Q1	2015-Q2	2015-Q3	2015-Q4	2016-Q1	2016-Q2	2016-Q3	2016-Q4	2017-Q1	2017-Q2	2017-Q3	2017-Q4
Project B												
Develop RMU services & capabilities												
	2.5 – Ensure the skill levels of employees are sufficient to support the business unit and the organisation through succession planning and recognising staff as subject matter experts. <i>01/01/2015 – 31/12/2016</i>											
	2.3 – Review Org Chart <i>Completed 01/01/2015</i>		B.1 – Update RMU documentation to reflect new version of ECM <i>01/07/2015 – 31/12/2015</i>		B.2 – Develop workflow reporting services to business units <i>01/01/2016 – ongoing function of RMU</i>							
	2.4 – Develop Charter Service <i>Completed – 01/01/2015</i>				2.2 – Investigate better mgmt. of decentralised R&IM and re-branding of the RMU <i>01/01/2016 – 31/12/2016</i>							
	2.6 – Dedicated switch operator <i>Decided against – 01/01/2015</i>				2.1 – Update all procedures to ensure all records captured <i>01/01/2016 – 30/06/2016</i>							

Objective 3

Develop a positive & proactive Records Management Culture & Practices across all levels in Council

	2015-Q1	2015-Q2	2015-Q3	2015-Q4	2016-Q1	2016-Q2	2016-Q3	2016-Q4	2017-Q1	2017-Q2	2017-Q3	2017-Q4
Project C Develop Council's retention and disposal capabilities and compliance			3.5 – Develop a project plan to review disposal of records to ensure better management of records <i>01/01/2015 – ongoing function of RMU</i>									
			3.4 – Review record security and access controls <i>01/04/2015 – 31/12/2015</i>			3.6 – Develop R&IM components of councils Disaster Recovery Plan. <i>01/01/2016 – 30/06/2016</i>						
Project D Review Business Unit Procedures												
							3.2 – Council wide R&IM survey <i>01/07/2016 – 31/12/2016</i>			3.3 – Implement quality control of staff R&IM practices <i>01/01/2017 – 30/06/2017</i>		
Project E Process all information silos and backlogs.			E.1 – Sentence and transfer all archived records from Iron Mountain to Grace <i>01/01/2015 – 31/12/2017</i>									
			E.2 – Process inactive interim hardcopy archival records <i>01/01/2015 – 31/12/2015</i>			E.3 – Process Business Unit identified network drives ready for appraisal and capture <i>01/01/2016 – 31/12/2017</i>						
Project F Develop an R&IM training and culture schedule			F.1 – Develop training material & procedures for new version of ECM <i>01/04/2015 – 30/09/2015</i>			F.2 – Run proactive ECM user training course and R&IM workshops for staff and Business Units <i>01/10/2015 – ongoing function of RMU</i>						
			3.7 – Review current training programs & support models across Council ensuring continuous R&IM improvement <i>01/04/2015 – 31/12/2015</i>			3.1 – Develop a R&IM communication plan for Council to develop culture <i>01/01/2016 – 30/06/2016</i>						

Objective 4

Maximise efficiency
and effectiveness of
Records
Management
systems

	2015-Q1	2015-Q2	2015-Q3	2015-Q4	2016-Q1	2016-Q2	2016-Q3	2016-Q4	2017-Q1	2017-Q2	2017-Q3	2017-Q4
Project G												
Audit, upgrade and enhance Council's ED RMS												
	G.1 – Undertake upgrade of ECM System from version 4.02 to 4.03 <i>01/01/2015 – 30/09/2015</i>				4.1 – Review Current ECM functionality to ensure full utilisation of system <i>01/10/2015 – ongoing function of RMU</i>							
	G.2 – Undertake progressive audit, cleaning and refinement activities of EDMRS database <i>01/01/2015 – Ongoing function of RMU</i>											
	G.3 – Establish Business Classification Scheme (BCS) Function in RMU service charter <i>01/01/2015 – Ongoing function of RMU</i>											
	4.9 – Review task lists to improve R&IM and reduce risk <i>01/01/2015 – 30/06/2016</i>							4.10 – Reduce paper dependency <i>01/07/2016 – 31/12/2017</i>				
			G.4 – Publish 2015 EDMRS Schema <i>01/07/2015 – 31/12/2015</i>			4.11 – Implement new CAR process <i>01/04/2016 – 30/06/2016</i>		4.6 – Review Intranet records silos <i>01/07/2016 – 31/12/2016</i>				
					G.5 – Develop committee reports <i>01/01/2016 – 30/03/2016</i>							

Project H

Begin migrating
Business Units into
EDRMS

[illegible]

**ENCL: RISK MANAGEMENT & AUDIT
YES COMMITTEE/OPEN**

AGENDA ITEM: 9.2

PROGRESS REPORT ON THE RISK MANAGEMENT PLAN

REPORT No.: 15A0072 TS:mp

COMMON No.: 2363571

DATE: 29/05/2015

Presenter: Team Coordinator Risk, Audit & Safety, Tony Simons

Approved: General Manager Corporate Services, Diana Leeder

PURPOSE

The purpose of this report is to inform the Risk Management & Audit Committee (RMAC) on the progress of the review of the Risk Management Framework.

LINK TO STRATEGIC PLAN

The issues addressed in this Report are in accordance with the following Goals/Strategies of the City of Darwin 2012 – 2016 as outlined in the 'Evolving Darwin Towards 2020 Strategic Plan':-

Goal

5 Effective and Responsible Governance

Outcome

5.3 Good governance

Key Strategies

5.3.3 Understand and manage Council's risk exposure

KEY ISSUES

- City of Darwin manages its risks under three areas :-
 - A Strategic Risk Assessment (SRA) which is reviewed in full every four years following the election of the new Council
 - Four departmental based Operational Risk Assessments (ORA); which are continually updated as and when changes are necessitated following outcomes from internal audits and Control Self-Assessment (CSA) reviews, and then reviewed in full with the responsible section managers annually
 - A Workplace Health and Safety Risk Assessment (WHSRA); which is reviewed annually
- RMAC monitors risk management activity under its Terms of Reference by receiving and reviewing the revised assessments annually
- Risk assessments are used in the development of Council's internal audit plans

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 REPORT NUMBER: 15A0072 TS:mp
 SUBJECT: PROGRESS REPORT ON THE RISK MANAGEMENT PLAN

RECOMMENDATIONS

THAT the Committee resolve under delegated authority:-

THAT Report Number 15A0072 TS:mp entitled Progress of Risk Management Framework, be received and noted.

BACKGROUND

Major improvements to the ORAs were made during the 2014 review, most notably being the changes to ensure that the “business process” elements of the ORAs reflected the key business objectives outlined in Council’s Municipal Plan.

This was undertaken to add further robustness and relevance to the ORAs by ensuring that the ORAs are aligned with the Municipal Plan as that document provides the key links between the Strategic Plan and operational business objectives and strategies.

During the project it became evident that some business process elements of the ORAs were not included in the current version of the Municipal Plan and vice versa.

In the future, reviews of the Municipal Plan and ORAs will be utilised to inform each other to ensure that both documents accurately reflect Council’s business objectives and strategies.

DISCUSSION

The SRA was last reviewed in 2013 and is due for revision following the next Council general election in 2017 (amendments necessitated by internal audit and CSA outcomes have been made as and when required);

The 2015 review of the four departmental ORAs has been completed and steps have been taken to ensure alignment with key objectives set out in the current Municipal Plan.

Further work is now required with the Team Coordinator Risk Audit & Safety and the Acting Manager Strategy & Outcomes to ensure preparation of the 2016 Municipal Plan addresses the changes to the ORAs and that all documents align with respect to key business objectives.

The WHSRA was reviewed in January 2015; the assessment has now been referred to the newly appointed Risk & Safety Officer for comment. RMAC requested that it be provided with the WHSRA for noting and accordingly a copy of the assessment is appended to this report (**Attachment A**).

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 REPORT NUMBER: 15A0072 TS:mp
 SUBJECT: PROGRESS REPORT ON THE RISK MANAGEMENT PLAN

CONSULTATION PROCESS

Nil

POLICY IMPLICATIONS

Nil

BUDGET AND RESOURCE IMPLICATIONS

Nil

RISK/LEGAL/LEGISLATIVE IMPLICATIONS

Continue to maintain an effective internal control monitoring and assessment program to meet risk management objectives.

ENVIRONMENTAL IMPLICATIONS

Nil

COUNCIL OFFICER CONFLICT OF INTEREST DECLARATION

We the Author and Approving Officers declare that we do not have a Conflict of Interest in relation to this matter.

TONY SIMONS
TEAM COORDINATOR RISK
AUDIT & SAFETY

DIANA LEEDER
GENERAL MANAGER
CORPORATE SERVICES

For enquiries, please contact Tony Simons on 8930 0573 or email:
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Attachments:

Attachment A: WHS Risk Assessment



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STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
1 CITY WORKS - CLEANING SERVICES (toilets, BBQs, general cleaning)							
Multi-skilled Workers Temp staff Contractors	Light rigid vehicle High pressure cleaner Cleaning chemicals Sanitary/disinfecting chemicals Mop & brush Petroleum products	Aggressive/abusive persons Animal & human waste matter Blood Chemical ingestion Chemical contact with skin & eyes Discarded sharps, needle stick Heavy lifting Split/exploding pressure hose Slip, trip, fall Sun exposure Working in the heat Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team - Team meetings and tool box talks review applicable SOPs <u>Licensing</u> - Required to hold C class, LR driver license - NT white card <u>PPE</u> - overalls, safety glasses, non-slip boots, gloves, hi-viz vests, hearing protection - Tongs are used to pick up sharps - 30+ sunscreen - Full face shield available - Hand sanitiser in all vehicles <u>Other</u> - Drinking water supplied at Ops Centre and each staff member provided with personal water jug - Low level toxicity chemicals used - Water available for irrigation of eyes and skin - First aid kit installed in vehicle - MSDS in vehicles for all chemicals on issue	- Barricading of Work Sites - Bird & Bat droppings - Chemicals Handling & Use - Chemical Spills & Leaks - Cleaning Chemicals - Generator (Portable) - Heavy Lifting - High Pressure Cleaner - Ladders - Manual Handling - Movement of Loads - Outdoor Work - Power Tools – Electric - Prevention of Slips Trips Falls - Rubbish & Waste Disposal - Sharps Handling & Disposal - Spills & Leaks - Toilet Cleaning - Tyre changing – Cars & Utilities - Tyre changing – Truck - Working in hot conditions - Working alone - Working in public areas - Working near roads	- Bullying & Harassment - Chemical Storage & Use - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Provision of Cleaning Services - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Cleaning Services	L: 3 Likely C: 3 moderate H
2 CITY WORKS – STREET SWEEPING							
Multi-skilled Workers	Heavy rigid vehicle (sweeper) Truck cleaning bay High volume hoses High pressure cleaners	Aggressive/abusive persons Animals on the road Children on the road Negotiating traffic and parked vehicles Sitting for extended periods Split/exploding pressure hose Working out of hours Working public areas Working on roads	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - Staff are required to hold heavy rigid driver license - NT white card <u>PPE</u> - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Drinking water supplied at Ops Centre and each staff member provided with personal water jug	- Heavy Lifting - Manual Handling - Outdoor Work - Rubbish removal - Sharps Handling & Disposal - Tyre changing – Truck - Working in hot conditions - Working alone - Working in public areas - Working near roads	- Bullying & Harassment - Chemical Storage & Use - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Provision of Cleaning Services - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Cleaning Services	L: 3 C: 3 H
3 CITY WORKS – LITTER MANAGEMENT							
Multi-skilled Workers	Litter trolleys Litter tongs Utility vehicles Disinfectant chemicals Insect killer High pressure cleaners	Aggressive/abusive persons Contact with food & cooking waste Contact with human and animal waste Manual handling Repetitive bending Sharps exposure Split/exploding pressure hose Sun exposure Vermín & insects Working in the heat Working near roads Working in public areas Working in tropical conditions	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - C class - NT white card <u>PPE</u> - Gloves, pick up sticks, safety glasses, hats, steel caps - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - First aid kit installed in vehicle - Insect repellent - Hand sanitiser	- Barricading of Worksites - Bird & Bat droppings - Chemicals- Handling & Use - Chemicals – Spills & Leaks - Cleaning Chemicals - Generator (Portable) - Heavy Lifting - High Pressure Cleaner - Manual Handling - Outdoor Work - Prevention of Slips Trips Falls - Rubbish removal - Sharps Handling & Disposal - Spills & Leaks - Toilet Cleaning - Tyre changing – Cars & Utilities - Tyre changing – Truck - Working in hot conditions - Working alone - Working in public areas	- Bullying & Harassment - Chemical Storage & Use - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Provision of Cleaning Services - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Cleaning Services	L: 3 C: 3 H

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) (and possible control improvements)	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS					
4 CITY WORKS – ASPHALT WORKS (Road resurfacing, Pothole repairs, Grading, Levelling, Traffic control)								L:	2	C:	3	M
TL Roads ATL Roads Civil Tech Off Multi-skilled Workers Traffic Control	2wd vehicle Backhoe Bitumen emulsion (cold)Emergency lighting Grader Hot mix asphalt Medium rigid vehicle Pavement roller Traffic control signage Shovel & rake Variable message boards Whacker-packer Witches hats	Contact with hot mix Heavy lifting Hot mix fumes Noise Slip, trip fall Sun exposure Traffic accident Vehicle exhaust fumes Working in the heat Working on roads	<u>Training Programs</u> - Mandatory staff induction “working in the heat” and “saving our skins” - Annual refresher in working in the heat - WHS worksite inductions - Onsite induction to equipment and machinery - Trained HSR appointed to City Works Team <u>Licensing</u> - Required to hold C class, MR driver license - Backhoe ticket - NT white card <u>PPE</u> - Hearing protection, long sleeved clothing, steel caps, eye protection, sun hat, hard hat - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - First aid kit installed in vehicle - Specialised burns first aid kit	- Asphalt & bitumen patching - Barricading of worksites - Chemical Use - Chemical Spills - Compactor (vibrating plate) - Dump truck - Excavation work (under 1.5m) - Front End Loader - Generator (Portable). - Heavy Lifting - Manual Handling - Motor Grader - Outdoor Work - Prevention of Slips Trips Falls - Roller/Compactor - Tip Truck - Trucks & Heavy Vehicles - Tyre changing – Cars & Utilities - Tyre Changing – trucks - Working in hot conditions - Working alone - Working in public areas	- Bullying & Harassment - Chemical Storage & Use - Contractor Management - Drugs & Alcohol - Ergonomic Inspection - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Roads & Drains						
5 CITY WORKS – DRAINAGE WORKS								L:	2	C:	4	H
TL Roads ATL Roads Civil Tech Officer Multi-skilled Workers Contractors	Backhoe Tipper truck MR vehicle LR vehicle 2wd vehicle High pressure arbon (water jet – high pressure high volume) Mini excavators CCTV inspection cameras Laser levels	Allergies Confined space Crocodiles Exposure to water borne waste Exposure to stagnant water Heavy lifting Insect bites & stings Sharps & rubbish Slip, trip, fall Sun exposure Vermin/dangerous animals Working in the heat	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - Required to hold C class, LR and MR driver license - NT white Card - Backhoe ticket - Confined space entry ticket <u>PPE</u> - Eye protection, hearing protection, gloves, hi-viz - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Contract let for stormwater drain inspections - Cameras used for inspections wherever possible to avoid confined space entry - Spotters used when confined space entry is required - St John and Fire/Rescue are advised prior to entry taking place (in procedures) - 000 speed-dial for emergency services - 2-way radio contact with Ops Centre Comms Officer - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - First aid kit installed in vehicle	- Backhoe/Front End Loader - Barricading of worksites - Concrete Cutting & Drilling - Confined Space - Excavation work (under 1.5m) - Excavation work (over 1.5m) - Excavator - Excavator Attachments - Heavy Lifting - Manual Handling - Outdoor Work - Prevention of Slips Trips Falls - PVC Pipe Saw - PVC Pipe Slotter - Sharps – Handling & Disposal - Tyre changing – Cars & Utilities - Tyre Changing – trucks - Working in hot conditions - Working alone - Working in public areas	- Bullying & Harassment - Confined Space - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Roads & Drains						

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>		SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS			
6 CITY WORKS – GROSS POLLUTION TRAPS and CONFINED SPACE									L: 2	C: 4	H
TL Roads ATL Roads Civil Tech Off Multi-skilled Workers	Crane truck MR vehicle Harnesses Tripods Manhole access & egress equipment Gas monitoring equipment Inert lighting Back up lighting Escape equipment (including oxygen) Re-breathing equipment 2-way communications	Human/animal waste Manual handling Heavy lifting Petroleum, chemicals Hazardous material flushed into drains Sharps & rubbish Slip, trip, fall Stick injury (cut reo bar) Vermin/dangerous animals Working in the heat Working in confined space	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Standby / observer staff in position at all times for confined space entry - Trained HSR appointed to City Works Team <u>Licensing</u> - Required to hold C class and LR driver license - Required to hold Confined Space Entry ticket - Dogging and crane license <u>PPE</u> - Non slip boots - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Cameras used for inspections wherever possible to avoid confined space entry - First aid kit installed in vehicle - 000 speed-dial for emergency services - 2-way radio contact with Ops Centre Comms Officer - Spotters used when confined space entry is required - St John and Fire/Rescue are advised prior to entry taking place (in procedures) - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug		 - Backhoe/Front End Loader - Barricading of worksites - Concrete Cutting & Drilling - Confined Space - Excavation work (under 1.5m) - Excavation work (over 1.5m) - Heavy Lifting - Manual Handling - Outdoor Work - Prevention of Slips Trips Falls - PVC Pipe Saw - PVC Pipe Slotter - Sharps – Handling & Disposal - Tyre changing – Cars & Utilities - Tyre Changing - trucks - Working in hot conditions - Working alone - Working in public areas	 - Bullying & Harassment - Confined Space - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Roads & Drains				
7 CITY WORKS – CONCRETE WORKS (footpaths, driveways, kerbing, side entry pits)									L: 2	C: 3	M
TL Concrete ATL Concrete Civil Tech Officer Multi-skilled Workers Traffic Control	2wd vehicle Backhoe/excavator Bolt cutters Compressor/jackhammer Concrete mixer Contractors Diamond concrete saw Emergency lighting General hand tools Helicopter trowel machine High pressure cleaners Light rigid vehicle Medium rigid vehicle Pavement roller Reo bar Reo mesh Shovel & rake Tipper truck Traffic control signage Variable message boards Wacker-packer Witches hats	Abusive/aggressive persons Aggressive animals Heavy lifting Inhale/ingest concrete dust Noise Repeated bending Sun exposure Traffic accident Vehicle exhaust fumes Working in the heat Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “saving our skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - Required to hold C class, LR & MR driver license - White card - Backhoe ticket <u>PPE</u> - Long sleeve clothing, gum boots, wide brimmed and hard hats, eye protection, gloves, safety sun glasses - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - First aid kit installed in vehicle		 - Barricading of worksites - Compactor (vibrating plate) - Concrete cutting & drilling - Excavation work (under 1.5m) - Generator (portable). - Heavy Lifting - High pressure cleaners - Manual Handling - Outdoor Work - Prevention of Slips Trips Falls - Roller/Compactor - Tip Truck - Truck & Heavy Vehicles - Tyre changing – Cars & Utilities - Tyre Changing - trucks - Working in hot conditions - Working alone - Working in public areas	 - Bullying & Harassment - Contractor Management - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Concrete				

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) (and possible control improvements)		SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS			
8 CITY WORKS – STEEL FABRICATION and WELDING									L: 2	C: 4	H
TL Concrete ATL Civil Tech Officer Multi-skilled Workers Traffic Control	Angle grinder Bench grinder Drop saws Gen set Gas axe MR vehicles Power tools Traffic control equipment Welding equipment	Burns Cuts/abrasions Electric shock Fumes & gases from pits Heavy lifting Manual work Slip, trip, fall Sun exposure Vehicle exhaust fumes Working in the heat Working on roads Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “saving our skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - Required to hold C class, LR & HR driver license <u>PPE</u> - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - First aid kit installed in vehicle		- Abrasive blasting cabinet - Angle grinder - Bench Grinder - Buffing & metal polishing - Barricading of worksites - Cut-off wheel - Drop saw - Electrical Safety - Gas Welding & Cutting - Generator (Portable) - Heavy Lifting - Lathe (metal) - Manual Handling - Metal bandsaw & power hacksaw - Outdoor Work - Pie threader - Pipe bender - Power tools (electric) - Paints & Coatings - Prevention of Slips Trips Falls - Welding - Working in hot conditions - Working alone - Working in public areas	- Bullying & Harassment - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Concrete				
9 CITY WORKS – STREET BANNERS									L: 2	C: 4	H
TL Concrete Multi-skilled Workers Contractor Traffic control	2wd vehicle EWPs Hand tools harnesses	Broken/worn harnesses Slip, trip, fall Sun exposure Vehicle exhaust fumes Working at heights Working in the heat Working on roads Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “saving our skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - Required to hold C class, LR & HR driver license - EWP ticket <u>PPE</u> - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - First aid kit installed in vehicle		- Barricading of Worksites - Fall Arrest systems - Heavy Lifting - Ladders - Manual Handling - Outdoor Work - Tyre changing – Cars & Utilities - Working at height - Working in hot conditions - Working alone - Working in public areas	- Bullying & Harassment - Contractor Management - Drugs & Alcohol - First Aid - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Work at Heights - Working in a Tropical Environment	Team Leader Concrete				
10 CITY WORKS – LINE MARKING									L: 2	C: 3	M
Line Marker Assistant Line Marker	Light rigid vehicle 2wd vehicle Line marking machine Line marking paint Traffic control signage Glass beads General hand tools	Broken/blown pressure lines Exposure to paint and thinners Noise Sun exposure Vehicle exhaust fumes Working in the heat Working on roads Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - Required to hold C class and LR driver license <u>PPE</u> - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - First aid kit installed in vehicle		- Barricading of worksites - Generator (Portable) - Heavy Lifting - Manual Handling - Prevention of Slips Trips Falls - Tyre changing – Cars & Utilities - Tyre Changing - trucks - Working in hot conditions - Working alone - Working in public areas	- Bullying & Harassment - Chemical Storage & Use - Contractor Management - Drugs & Alcohol - First Aid - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Roads & Drains				

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STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS			
11 CITY WORKS – STREET SIGN MAINTENANCE								L: 2	C: 3	M
Sign Maintenance Officer	2wd vehicle Light rigid vehicle Ladder Platform ladder Generator & fuel Power tools Compressed air	Broken/blown pressure lines Electrical shock Noise Sun exposure Vehicle exhaust fumes Work at height Working in the heat Working on roads	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - Required to hold C class and LR driver license <u>PPE</u> - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - First aid kit installed in vehicle - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug	- Barricading of worksites - Heavy Lifting - Ladders - Manual Handling - Outdoor Work - Platform Ladders - Prevention of Slips Trips Falls - Scaffolding - Scissor Lift - Tyre changing – Cars & Utilities - Tyre Changing - trucks - Working at Heights - Working in hot conditions - Working alone - Working in public areas - Work in proximity to live power	- Bullying & Harassment - Drugs & Alcohol - First Aid - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Roads & Drains				
12 CITY WORKS – TRAFFIC MANAGEMENT								L: 2	C: 4	H
Traffic Officer Contracted providers	2wd vehicle Traffic control signage Witches hats Emergency lighting Variable message boards	Abusive/aggressive persons Heavy lifting Sun exposure Working in the heat Working on roads Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - Staff ticketed in Work Zone Traffic Management <u>PPE</u> - 30+ sunscreen issued - Hi-viz vests <u>Other</u> - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug	- Barricading of worksites - Heavy Lifting - Manual Handling - Outdoor Work - Tyre changing – Cars & Utilities - Working in hot conditions - Working alone - Working in public areas - Working on Roads	- Bullying & Harassment - Contractor Management - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Traumatic Incident - Working in a Tropical Environment	Manager Infrastructure Maintenance	? should staff be trained in verbal conflict resolution techniques			
13 CITY WORKS – GRAFFITI REMOVAL								L: 2	C: 2	M
Multi-skilled Workers	Ladders Platform ladders High pressure cleaner Solvents Paint & thinners	Abusive/aggressive persons Exposure to thinners and solvent fumes Working at heights Working in the heat	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Annual refresher in working in the heat - WHS worksite inductions - Trained HSR appointed to City Works Team <u>Licensing</u> - NT white card <u>PPE</u> - Eye protection, face protection, hearing protection, filter masks, footwear, hats, sunscreen, sunglasses, long sleeved clothing <u>Other</u> - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - Low level toxicity chemicals used wherever possible - MSDS for all chemicals on issue	- Air Compressor - Barricading of Worksites - Chemicals – Handling & Use - Chemicals – Spills & Leaks - Cleaning Chemicals - Heavy Lifting - Ladders - Platform Ladders - Manual Handling - Outdoor Work - Prevention of Slips, Trips & Falls - Working in Hot Conditions - Working in Public Areas	- Bullying & Harassment - Contractor Management - Drugs & Alcohol - First Aid - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Traumatic Incident - Working in a Tropical Environment	Team Leader Cleaning	? should staff be trained in verbal conflict resolution techniques			

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
14 PARKS TEAMS – URBAN FOREST MANAGEMENT							
Arborists Assist Arborists Contractors	Articulated loader Backhoe Bench grinder Chainsaw Chain saw chain sharpener Compressor Crane hoist (stand-alone) Crane truck Dingo (attachments include excavator, auger, grader blade, borer, ripper, trencher & front bucket) Extension poles (hand tools) EWP Fertiliser Forklift Gardening hand tools Herbicides Lifting slings & chains Lubricants 4wd vehicles MR vehicles Organic material (mulch) Pesticides Petroleum products Pole saw Rear tipper truck Side tipper truck Site barricading equipment Stump grinder Tractor Traffic control equipment Utility vehicle Winches Wood chipper (large) Wood chipper (small)	Aggressive/abusive persons Allergies Animal bites Animal and human waste Chemical contact/ingestion Contact with wood chipper mechanism Contractor management Entrapment in branches Falling/breaking branches Fatigue management Harnesses & lanyards Hepatitis Hollow/unstable trees Insect bites Noise Sharps and broken glass Slips, trips & falls Soil borne micro-organisms (melioidosis) Staff unfamiliar with procedures and plant Stagnant water in pipes Sun exposure Toxic/poisonous herbage Unsecured loads Vehicle & plant exhaust Waste material comes into contact with eyes Work at height Working in the heat Working in public areas Working on roads Worn/broken slings/chains	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Refresher “working in tropical environment” training undertaken annually - Specific equipment induction training undertaken - Staff trained in manual handling - Staff provided with competency training to use chainsaw and pole saw - Staff trained to use wood chipper - Staff trained as senior first aiders - Staff trained in work-zone traffic management - Staff trained in use of portable fire extinguishers - Trained HSR appointed to Parks Teams <u>Licensing</u> - Staff trained & licensed in use of EWPs - Ticket required for forklift - Required to hold C class and LR driver license <u>PPE</u> - eye protection, hearing protection, full length clothing, gloves, hard hats, sun screen, safety boots <u>Other</u> - WHS representatives assigned to work groups by risk profile - First aid kit installed in vehicle - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - Low level toxicity chemicals used - MSDS in vehicles for all chemicals on issue - Slings have use-by date which is monitored by 6 monthly inspections and pre-use checks - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus	- Agricultural/horticultural chemicals - Backhoe/front end loader - Barricading Worksites - Bugged vehicle recovery - Brush Cutter - Bench grinder - Chain blocks & Hoists - Chainsaw/Pole Saw - Chemicals (Handling & Use) - Chemical Use & Storage - Crane Truck - EWPs - Excavator - Excavator attachments - Fall Arrest Systems - Fertilisers - Fork lift - Front End Loader - Generator (Portable) - Heavy Lifting - Herbicides - Ladders - Manual Handling - Motor Mower - Motor Mower – Ride On - Outdoor Work - Platform Ladders - Pole saw pruner - Potting Mix - Prevention of Slips, Trips & Falls - Safety Harnesses - Scaffolding - Sharps – Handling & Disposal - Stump Grinder - Tip Truck - Tree Lopping & Pruning - Truck & Heavy Vehicles - Tyre Changing – Cars & Utilities - Tyre Changing - Truck - Working at Height - Working in the Hot Conditions - Working in Public Areas - Working Near Overhead Powerlines - Wood Chipper Use	Team Leader Urban Forest	L: 3 C: 4 E	Need to add crane truck into plant Only 2 licensed dogmen on staff Need persons licensed to use crane truck Training in maintenance of equipment ? should staff be trained in verbal conflict resolution techniques

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
15 PARKS TEAMS – MAINTAIN PARKS and GARDENS							
Horticulturalists Assist Horticulturalists Arborists Assistant Arborists Playground Tech Backhoe operator Contractors	Articulated loader Auger truck Backhoe Bench grinder Chainsaw Chain saw chain sharpener Chemicals (soft fall mix) Compressor Concrete cutting saw Crane hoist Demolition saw Dingo (attachments include excavator, auger, grader blade, borer, ripper, trencher & front bucket) Extension poles (hand tools) Elevated work platform Forklift Gardening hand tools Generators Glues & solvents Grinder Herbicides Hedger High pressure cleaner Horticultural chemicals Jack hammer Lawn mower Leaf blower Lifting slings & chains Lubricants 4wd vehicles MR vehicles Organic material (mulch) Paints & thinners Pesticides Petroleum products Poison tanks Pole saw Power tools Rear tipper truck Rotary hoe Sandpit machine Scissor lift Side tipper truck Site barricading equipment Stump grinder Tractor Traffic management tools Utility vehicle Water truck Welder Wheel barrow Whipper snipper Winches Wood chipper (large) Wood chipper (small)	Aggressive/abusive persons Allergies Animal bites Animal and human waste Chemical contact/ingestion Contact with wood chipper mechanism Contractor management Entrapment in branches Falling/breaking branches Fatigue management Heavy lifting Hepatitis Hollow/unstable trees Insect bites Noise Sharps and broken glass Slips, trips & falls Soil borne micro-organisms (melioidosis) Staff unfamiliar with procedures and plant Stagnant water in pipes Sun exposure Toxic/poisonous herbage Unsecured loads Vehicle & plant exhaust Waste material comes into contact with eyes Work at height Working in the heat Working in public areas Working on roads Worn/broken slings/chains Worn/broken harnesses & lanyards Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Refresher working in tropical environment training undertaken annually - Specific equipment induction training undertaken - Staff trained in manual handling - Staff provided with competency training to use chainsaw and pole saw - Staff trained to use wood chipper - Staff trained as senior first aiders - Staff trained in work-zone traffic management - Staff trained in use of portable fire extinguishers - Trained HSR appointed to Parks Teams <u>Licensing</u> - Staff trained & licensed in use of EWPs - Ticket required for forklift - Staff trained & licensed to use backhoe - Staff trained and licensed in use of EWPs - Required to hold C class and LR driver license <u>PPE</u> - eye protection, hearing protection, full length clothing, gloves, hard hats, sun screen, safety boots <u>Other</u> - WHS representatives assigned to work groups by risk profile - First aid kit installed in vehicle - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - Low level toxicity chemicals used - MSDS in vehicles for all chemicals on issue - Slings have use-by date which is monitored by 6 monthly inspections and pre-use checks - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus	- Agricultural/horticultural chemicals - Auger (motorised) - Bench grinder - Backhoe/front end loader - Barricading of Worksites - Bugged vehicle recovery - Chainsaw - Chemicals (Handling & Use) - Chemical Use & Storage - Composts - Crane Truck - Excavator - Excavator attachments - EWP - Fertilisers - Forklift - Generator - Hand tools - Heavy Lifting - Herbicides - Jack hammer - Lifting equipment - Ladder - Motor mower (ride on) - Outdoor Work - Platform Ladder - Pole saw pruner - Potting Mix - Power tools - Prevention of Slips, Trips & Falls - Safety Harnesses - Scissor Lift - Sharps – Handling & Disposal - Slasher mower - Stump Grinder - Tip truck - Truck & Heavy Vehicles - Tyre Changing – Cars & Utilities - Tyre Changing - Truck - Welding equipment - Working at Height - Working in the Hot Conditions - Working in Public Areas - Working Near Overhead Powerlines - Wood Chipper Use	- Agricultural/horticultural chemicals - Bullying & Harassment - Chemical Storage & Use - Contractor Management - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leaders Parks Teams	? should staff be trained in verbal conflict resolution techniques

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
16 PARKS TEAMS – IRRIGATION WORKS (Pipe laying, removal and repairs, Trenching works, Controller repairs, Electrical circuitry, Welding, Pump maintenance)							
Irrigation Techs Backhoe operators	Angle grinder Battery charger Batteries (12 & 24v) Bench grinder Concrete mixer Dingo (attachments include excavator, auger, grader blade, borer, ripper, trencher & front bucket) Drop saw EWP's Forklift Gas axe General hand tools General power tools Glues and solvents Herbicides Ladders Laptop use (ergonomics) Line locator LR vehicles Lubricants Pedestal drill Pipe cutting and fixing tools Platform ladders Testing stations (electrical) Trailers Trenching tools Utility vehicles Welding equipment Wheelbarrow Water pump	Aggressive/abusive persons Allergies Animal bites Animal and human waste Asbestos exposure Chemical contact/ingestion Contractor management Electric shock Fatigue management Heavy lifting Insect bites/allergies Manual work Staff unfamiliar with procedures Staff unfamiliar with plant Sun exposure Sharps and broken glass Slips, trips & falls Soil borne micro-organisms (melioidosis) Stagnant water in pipes Sun exposure Working in the heat Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Refresher working in tropical environment training undertaken annually - Specific equipment induction training undertaken - Staff trained in manual handling - Staff provided with competency training to use chainsaw and pole saw - Staff trained to use wood chipper - Staff trained as senior first aiders - Staff trained in work-zone traffic management - Staff trained in use of portable fire extinguishers - Trained HSR appointed to Irrigation & UFM Teams <u>Licensing</u> - Staff trained & licensed in use of EWPs - Ticket required for forklift - Staff trained & licensed to use backhoe - Staff trained and licensed in use of EWPs - Required to hold C class and LR driver license <u>PPE</u> - eye protection, hearing protection, full length clothing, gloves, hard hats, sun screen, safety boots <u>Other</u> - WHS representatives assigned to work groups by risk profile - First aid kit installed in vehicle - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - Low level toxicity chemicals used - MSDS in vehicles for all chemicals on issue - Slings have use-by date which is monitored by 6 monthly inspections and pre-use checks - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus	- Angle grinder - Auger - Backhoe/Front End Loader - Barricading of Worksites - Bench grinder - Bugged Vehicle Recovery - Compactor (Vibrating Plate) - Concrete mixer - Drop saw - Gas cutting and welding - Electrical appliances - Electrical safety - Excavation work (under 1.5m) - Excavator - Excavator attachments - Hand tools - Heavy Lifting - Herbicides - Ladders - Ladders (platform) - Manual Handling - Outdoor Work - Pedestal drill - Pipe Bender - Pipe Threader - Prevention of Slips, Trips & Falls - PVC Pipe Saw - PVC Pipe Slotter - Roller/Compactor - Sharps – Handling & Disposal - Trucks & Heavy Vehicles - Tyre Changing – Cars & Utilities - Tyre Changing – Truck - Working in Hot Conditions - Working in Public Areas	- Bullying & Harassment - Chemical Storage & Use - Contractor Management - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Irrigation & Turf	? should staff be trained in verbal conflict resolution techniques

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
17 PARKS TEAMS – TURF MANAGEMENT							
Turf horticulturalist	Aerator Blower vac Cylinder mower Edger Fertilisers Fertiliser spreader Flail mower Forklift Herbicides Pesticides MR vehicle Slicer Top soil spreader Tractor Utilities Verti-mower Whipper snipper	Aggressive/abusive persons Allergies Animal bites Animal and human waste Chemical contact/ingestion Contractor management Fatigue management Heavy lifting Insect bites Noise Sharps and broken glass Slips, trips & falls Soil borne micro-organisms (melioidosis) Staff unfamiliar with procedures Staff unfamiliar with plant Stagnant water in pipes Sun exposure Vehicle & plant exhaust Working in the heat Working in public areas Working on roads Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Refresher working in tropical environment training undertaken annually - Specific equipment induction training undertaken - Staff trained in manual handling - Staff provided with competency training to use chainsaw and pole saw - Staff trained to use wood chipper - Staff trained as senior first aiders - Staff trained in work-zone traffic management - Staff trained in use of portable fire extinguishers - Trained HSR appointed to Irrigation and UFM Teams <u>Licensing</u> - Staff trained & licensed in use of EWPs - Ticket required for forklift - Staff trained & licensed to use backhoe - Staff trained and licensed in use of EWPs - Required to hold C class and LR driver license <u>PPE</u> - eye protection, hearing protection, full length clothing, gloves, hard hats, sun screen, safety boots <u>Other</u> - WHS representatives assigned to work groups by risk profile - First aid kit installed in vehicle - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - Low level toxicity chemicals used - MSDS in vehicles for all chemicals on issue - Slings have use-by date which is monitored by 6 monthly inspections and pre-use checks - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus	- Agricultural/horticultural chemicals - Backhoe/Front End Loader - Barricading of Worksites - Bugged Vehicle Recovery - Compactor (Vibrating Plate) - Excavation work (under 1.5m) - Fertilisers - Forklift - Heavy Lifting - Herbicides - Lawn edger - Lawn scarifier - Manual Handling - Outdoor Work - Prevention of Slips, Trips & Falls - Sharps – Handling & Disposal - Slasher mower - Tractors - Trucks & Heavy Vehicles - Tyre Changing – Cars & Utilities - Tyre Changing – Truck - Working in Hot Conditions - Working in Public Areas	- Agricultural/horticultural chemicals - Bullying & Harassment - Chemical Storage & Use - Contractor Management - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Irrigation & Turf	L: 2 C: 4 H ? should staff be trained in verbal conflict resolution techniques

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
18 FLEET – vehicle servicing, small plant maintenance, general fabrication							
Mechanics Small plant mechanic	3-phase power Air compressor Angle grinder Band saw Batteries Belt sander Bench grinder Chains and hoists Circular saw Cleaning/degreasing chemicals Combination Sander (belt/disc) Compressor Compressed air Disc sander Drop saw Drum sander Engine crane Forklift Gantry crane Gas axe Gas cylinders Generator Guillotine Hand tools High pressure cleaner Jacks and stands Ladders Lifting slings & chains Lubricants Metal buffer/polisher Metal lathe Milling machine Motor fuels Paints & thinners Pallet jack Panbrake Pedestal drill Pedestal grinder Platform ladder Power hacksaw Power tools Vehicle hoist Welding equipment	Chemical contact/ingestion Chemical fumes Contact with or ingestion of fuels & lubricants Crush injury Cuts and lacerations Electrical shock Exposure to welding arc Fire Heavy lifting Manual handling Vehicle traffic in the workshop Noise Slip, trip & fall Unauthorised entry to the worksite Working in the heat	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Staff trained in use of portable fire extinguishers - Staff trained as senior first aiders - Trained HSR appointed to Fleet & Building Maintenance Teams <u>Licensing</u> - Qualified mechanics - Staff licensed to drive forklift <u>PPE</u> - Safety glasses, welding masks, full face shields, gloves, footwear, ear muffs/plugs <u>Other</u> - RCDs attached to all equipment - Cooling fans installed in workshop - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - First aid kits in workshop - Emergency shower in workshop	- Air compressor - Angle Grinder - Band Saw - Battery Safety - Barricading of Worksites - Bench Grinder - Buffing & Metal Polishing - Cleaning Chemicals - Chemicals – Handling & Use - Chemicals – Spills & Leaks - Circular saw - Combination sander (belt/disk) - Compressor and Compressed air - Drill press - Drop saw - Drum sander - Electrical Appliances - Electrical Safety - Engine Crane - Flammable Liquids - Forklift - Gantry Crane - Gas Cylinders – Storage/Handling - Gas cutting and welding - Generator (Portable) - High Pressure Cleaners - Jacks & Vehicle Stands - Ladder (platform) - Lathe (metal) - Lifting Equipment - Manual Handling - Metal bandsaw & power hacksaw - Milling machine - Paints and coatings - Panbrake folder - Pedestal Grinder - Power Mechanical Press - Power Tools – Electric - Prevention of Slips, Trips & Falls - RCDs - RCD Testing - Spills & Leaks – Clean-up - Tyre Changer - Tyre Changer – Cars & Utes - Tyre Changer – Light Truck/4WD - Tyre Changer – Truck - Vehicle Hoist - Vehicle Loading Crane - Working in Hot Conditions	- Bullying & Harassment - Chemical Storage & Use - Drugs & Alcohol - Ergonomic Inspection - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Manager Fleet	

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS			
19 DEVELOPMENT & WASTE – SHOAL BAY WMF								L: 3	C: 2	M
TL Waste Management Weighbridge Officers Agency Staff	Weighbridge CCTV	Abusive/aggressive persons Cash handling Exposure to sun Noise Vehicle exhaust Working in heat Working in isolation	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Staff trained in use of portable fire extinguishers - Staff trained as senior first aiders - Staff trained in defibrillator use <u>Licensing</u> - <u>PPE</u> - Hi-viz vests <u>Other</u> - First aid kits installed - Defibrillator installed	- Electrical Appliances - Electrical Safety - Manual Handling - Outdoor work - RCDs - RCD Testing - Sharps – Handling & Disposal - Working in hot conditions - Working in Isolation - Working in public areas - Working on Roads	- Bullying & Harassment - Contractor Management - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment	Team Leader Waste	? should staff be trained in verbal conflict resolution techniques			
20 REGULATORY SERVICES – BY-LAW INFRINGEMENTS (Camping, Alcohol consumption, Illegal use of public space)								L: 3	C: 3	H
Public Places Rangers	2wd vehicle Ticketing machines CB Radio Laptop	Abusive/aggressive persons Fatigue Human waste/Contagious disease Litter & general waste Manual handling/Heavy lifting Mental health issues arising from abuse and confrontation Sexual harassment Slip, trip and fall Sun exposure/heat stress Working after hours Working in the dark Working in remote areas/vacant lots - Bushland/rough terrain - Snake bite - Insect bites/stings Working in the heat Working near/on roads Working with vulnerable population groups Working with children	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Verbal judo training & Cultural awareness training - Resilience (Mental Health) training - Employee assistance scheme is available to all staff - Staff trained as senior first aiders - Trained HSR appointed to Rangers Teams - Dealing with difficult people and situations training <u>Licensing</u> - Required to hold C class driver license <u>PPE</u> - Heavy duty gloves issued - 350+ sunscreen, wide brimmed hats, sunglasses, steel capped boots/shoes - Sanitising hand wash - Latex disposable gloves - Raincoat - Insect repellent - First aid kit - Torch/headlight - Heavy duty garbage bags - Hi viz vest <u>Other</u> - Emergency procedures developed (fire, aggression, bomb threat) - Each staff member provided with personal water carrier - Water tanks installed in vehicles used after hours - Rangers are paired up-at all times - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus - Sharps container in vehicle - Immediate critical incident debriefing post incident (Fun Bus has this) - Fortnightly safety review and evaluation (Fun Bus has this) - Criminal history check/Ochre card	- Outdoor work - Tyre Changing – Cars & Utes - Working in a tropical environment - Working in Isolation - Working in public areas - Working on Roads - Safe manual handling/lifting techniques - Working in hot conditions - Prevention of slips, trips and falls - Working in uncontrolled environments	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment - Use of mobile communication equipment	Regulatory Operations Supervisors	- Need to have annual refresher training for working in the heat, Saving Our Skins, Verbal judo, Cultural awareness and Resilience (Mental Health) - installation of spotlights on all vehicles - installation of new digital 2-way radios - installation of GPS tracking on vehicles for ranger safety - consider permanent pairing up of all rangers - investigate new clothing (lightweight & short sleeve option after clarification of PPE & Sun-smart Policies) - undertake specific JSEA for Mindil Beach Territory Day fireworks patrol - Need to train first aiders			

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
21 REGULATORY SERVICES – BY-LAW INFRINGEMENTS (Untidy allotments)							
Untidy Allotment Rangers	2wd vehicle CB Radio Laptop	Abusive/aggressive persons Fatigue Human waste/Contagious disease Litter & general waste Mental health issues arising from abuse and confrontation Slip, trip and fall Sexual harassment Sun exposure/heat stress Working in remote areas/vacant lots - Bushland/rough terrain - Snake bite - Insect bites/stings Working in the heat Working near/on roads	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Verbal judo training & Cultural awareness training - Resilience (Mental Health) training - Employee assistance scheme is available to all staff - Staff trained as senior first aiders - Trained HSR appointed to Rangers Teams - Dealing with difficult people and situations training <u>Licensing</u> - Required to hold C class driver and motorcycle license <u>PPE</u> - Heavy duty gloves issued - 350+ sunscreen, wide brimmed hats, sunglasses, steel capped boots/shoes - Sanitising hand wash - Latex disposable gloves - Raincoat - Insect repellent - First aid kit - Hi viz vest <u>Other</u> - Emergency procedures developed (fire, aggression, bomb threat) - Each staff member provided with personal water carrier - Water tanks installed in vehicles used after hours - Rangers are paired up for after hours work at all times - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus - Sharps container in vehicle - Immediate critical incident debriefing post incident (Fun Bus has this) - Fortnightly safety review and evaluation (Fun Bus has this) - Criminal history check	- Outdoor work - Tyre Changing – Cars & Utes - Working in a tropical environment - Working in Isolation - Working in public areas - Working on Roads - Safe manual handling/lifting techniques - Working in hot conditions - Prevention of slips, trips and falls - Working in uncontrolled environments	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment - Use of mobile communication equipment	Regulatory Operations Supervisors	L: 3 C: 3 H
22 REGULATORY SERVICES – BY-LAW INFRINGEMENTS (Abandoned vehicles)							
Abandoned Vehicle Rangers	2wd vehicle CB Radio Laptop	Abusive/aggressive persons Fatigue Human waste/Contagious disease Litter & general waste Manual handling Mental health issues arising from abuse and confrontation Sun exposure/heat stress Working in remote areas/vacant lots - Bushland/rough terrain - Snake bite - Insect bites/stings Working in the heat Sexual harassment Working near/on roads Negotiating traffic and parked vehicles Damage to subject vehicle during tow process	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Verbal judo training & Cultural awareness training - Resilience (Mental Health) training - Employee assistance scheme is available to all staff - Staff trained as senior first aiders - Trained HSR appointed to Rangers Teams - Dealing with difficult people and situations training - Something to do with vehicle assessment?? <u>Licensing</u> - Required to hold C class driver and motorcycle license <u>PPE</u> - Heavy duty gloves issued - 350+ sunscreen, wide brimmed hats, sunglasses, steel capped boots/shoes - Sanitising hand wash - Latex disposable gloves - Raincoat - Insect repellent - First aid kit - Hi viz vest <u>Other</u> - Emergency procedures developed (fire, aggression, bomb threat) - Each staff member provided with personal water carrier - Water tanks installed in vehicles used after hours - Rangers are paired up for after hours work at all times - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus - Sharps container in vehicle - Immediate critical incident debriefing post incident (Fun Bus has this) - Fortnightly safety review and evaluation (Fun Bus has this) - Criminal history check	- Outdoor work - Tyre Changing – Cars & Utes - Working in a tropical environment - Working in Isolation - Working in public areas - Working on Roads - Safe manual handling/lifting techniques - Working in hot conditions - Prevention of slips, trips and falls - Working in uncontrolled environments	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment - Use of mobile communication equipment	Regulatory Operations Supervisors	L: 3 C: 3 H

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
23 REGULATORY SERVICES – BY-LAW INFRINGEMENTS (CBD and Suburban Parking)							
CBD and Suburban Parking Rangers	2wd vehicle Motor scooter Ticketing machines CB Radio Bicycle (optional)	Abusive/aggressive persons Fatigue Human waste/Contagious disease Litter & general waste Mental health issues arising from abuse and confrontation Sun exposure/heat stress Working alone Working after hours Insect bites/stings Working in the heat Slip, trip and fall Sexual harassment Working near/on roads Negotiating traffic and parked vehicles Working with vulnerable population groups Working with children Accidental damage to vehicle	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Verbal judo training & Cultural awareness training - Resilience (Mental Health) training - Employee assistance scheme is available to all staff - Staff trained as senior first aiders - Trained HSR appointed to Rangers Teams - Dealing with difficult people and situations training <u>Licensing</u> - Required to hold C class driver and motorcycle license <u>PPE</u> - Heavy duty gloves issued - 50+ sunscreen, wide brimmed hats, sunglasses - Sanitising hand wash - Latex disposable gloves - Raincoat - Insect repellent - Walking shoes - Hi viz vest and/or hi viz water backpack <u>Other</u> - Emergency procedures developed (fire, aggression, bomb threat) - Each staff member provided with personal water carrier - Rangers are paired up for after-hours work - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus - Immediate critical incident debriefing post incident (Fun Bus has this) - Fortnightly safety review and evaluation (Fun Bus has this) - Criminal history check/Ochre card - Orthotics assessment prior to full-time parking duties - Work instructions to include hourly breaks	- Motorbike inspection sheets - Bicycle inspection sheets - Outdoor work - Tyre Changing – Cars & Utes - Working in a tropical environment - Working in Isolation - Working in public areas - Working on Roads - Working in hot conditions - Prevention of slips, trips and falls - Working in uncontrolled environments	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment - Use of mobile communication equipment	Regulatory Operations Supervisors	L: 3 C: 3 H - Need to have annual refresher training for working in the heat, Saving Our Skins, Verbal judo, Cultural awareness and Resilience (Mental Health) - consider permanent pairing up of all rangers - investigate new clothing (lightweight & short sleeve option after clarification of PPE & Sun-smart Policies) - undertake specific JSEA for Mindil Beach Territory Day fireworks patrol - Need to train first aiders
24 REGULATORY SERVICES – BY-LAW INFRINGEMENTS (Animal Management)							
Animal Rangers	2wd vehicle Ticketing machines CB radio Animal restraint equipment – leads, catching pole, muzzles, traps Laptop Disinfectants Tranquillizer dart gun (or equivalent)	Abusive/aggressive persons Aggressive animals Animal bites & scratches Animal faeces/waste/blood Animal parasites and disease Fatigue Human waste/Contagious disease Litter & general waste Manual handling/Heavy lifting Mental health issues arising from abuse and confrontation Slip, trip and fall Sexual harassment Sun exposure/heat stress Working near/on roads Working with vulnerable population groups Working with children Working in the dark Working in remote areas - Bushland/rough terrain - Snake bite - Insect bites/stings Working in the heat	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Verbal judo training & Cultural awareness training - Resilience (Mental Health) training - Employee assistance scheme is available to all staff - Staff trained as senior first aiders - Trained HSR appointed to Rangers Teams - Dealing with difficult people and situations training - Animal handling and behaviour training <u>Licensing</u> - Required to hold C class driver license - Shooter’s license for identified personnel <u>PPE</u> - Heavy duty gloves issued - 450+ sunscreen, wide brimmed hats, sunglasses, steel capped boots/shoes - Sanitising hand wash - Latex disposable gloves - Raincoat - Insect repellent - First aid kit - Torch/headlight - Heavy duty garbage bags <u>Other</u> - Emergency procedures developed (fire, aggression, bomb threat) - Each staff member provided with personal water carrier - Water tanks installed in vehicles used after hours - Rangers are paired up for at all times - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus - Sharps container in vehicle - Immediate critical incident debriefing post incident (Fun Bus has this) - Fortnightly safety review and evaluation (Fun Bus has this) - Criminal history check/Ochre card	- Outdoor work - Tyre Changing – Cars & Utes - Working in a tropical environment - Working in Isolation - Working in public areas - Working on Roads - Animal handling - Safe manual handling/lifting techniques - Working in hot conditions - Prevention of slips, trips and falls - Working in uncontrolled environments - Knowledge of confined space requirements (ie don’t go into)	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment - Use of mobile communication equipment	Regulatory Operations Supervisors	L: 3 C: 3 H - Need to have annual refresher training for working in the heat, Saving Our Skins, Verbal judo, Cultural awareness and Resilience (Mental Health) - installation of spotlights on all vehicles - installation of new digital 2-way radios - installation of GPS tracking on vehicles for ranger safety - consider permanent pairing up of all rangers - investigate new clothing (lightweight & short sleeve option after clarification of PPE & Sun-smart Policies) - undertake specific JSEA for Mindil Beach Territory Day fireworks patrol - Need to train first aiders - Animal handling training to be undertaken

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
			- All vehicles to have hydraulic cage lifter				
25 REGULATORY SERVICES – ANIMAL POUND MANAGEMENT							
Agency staff Manager Regulatory Services Regulatory Operations Supervisors	Animal restraint equipment– leads, catching pole, muzzles, traps Cleaning chemicals Disinfectants Flea & tick control chemicals Fire extinguishers Hand tools Hedgehog High pressure hose Lawn mower Petrol Whipper snipper Ticketing machines	Abusive/aggressive persons Aggressive animals Animal bites & scratches Animal faeces/waste/blood Animal parasites and disease Cash handling & storage Fatigue Insect bites/stings Manual handling/Heavy lifting Mental health issues arising from abuse and confrontation Sun exposure/heat stress Working in the heat Slip, trip and fall Sexual harassment Snake bite Working with vulnerable population groups Working with children	Training Programs - Staff inducted to WHSMS standards and procedures - Staff trained in use of fire extinguishers - Employee assistance scheme is available to all staff - Staff trained as senior first aiders - Trained HSR appointed to Animal Pound - Criminal history check/Ochre card - Dealing with difficult people and situations training - Animal handling and behaviour training Licensing - nil PPE - Sun-smart uniform - 350+ sunscreen, wide brimmed hats, sunglasses, steel capped boots/shoes, gumboots, heavy duty gloves, rubber gloves - Sanitising hand wash Other - Emergency procedures developed (fire, aggression, bomb threat) - Supplies of cold drinking water - Emergency wash down shower - Vaccinations – annual for flu, avian flu - Vaccinations – as required for Hep A & B & tetanus - Use of scheduled chemicals by veterinary staff only - Immediate critical incident debriefing post incident (Fun Bus has this) - Fortnightly safety review and evaluation (Fun Bus has this)	- Animal handling - Chemical use - Chemical spills - Electrical appliances - Fuel handling - Hand tools - Hedge trimmer - Motor mowers - Movement of loads - Prevention of Slips, Trips & Falls - Sharps Handling & Disposal - Storage & Staking of Materials - Waste disposal - Whipper snipper - Working in Hot Conditions - Working in Public Areas - Safe manual handling/lifting techniques	- Bullying & Harassment - Chemical Handling - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment	Regulatory Operations Supervisors	L: 3 C: 3 H - OHS inspection undertaken by Risk & OHS Advisor October 2013 - Need to have annual refresher training for working in the heat, Saving Our Skins, Verbal judo, Cultural awareness and Resilience (Mental Health) - Need to train first aiders - Need to train in use of extinguishers - Animal handling training to be undertaken - Cash security procedures required - Excessive heat in facility to be addressed - Phase three power connection to be isolated - Additional power points required (excessive use of power boards) - Need to look at duress alarm – aggro persons - Need to look at emergency wash down shower

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
26 LIBRARIES – LIBRARY OPERATIONS							
Library Manager Library technician Library assistant Specialist librarian Trainees & graduates Work experience Casuals Volunteers Temp agency staff Courier Contract Cleaners	2wd van Personal vehicles Book trolleys Banners Electronic equipment Electrical appliances Extension cords Filing compactus Hand trolley Ladder Lawn mower Leaf blower Library shelving Petroleum products Photocopier/printer PC's Projector screen Self-check kiosk Security gates	Abusive/aggressive persons Cleaning chemicals Chemical spills Fire Electrical shock General waste Human waste Lifting to heights Manual handling Mental health/fatigue Photocopier fumes Repetitive bending Sharps handling Workstation ergonomic issues Working alone (delivery van) Working with children Working with the public Working outside regular hours Working at night Working with elderly Working at heights	<u>Training Programs</u> - Staff trained in use of portable fire extinguishers - Staff trained as senior first aiders - Staff trained in defibrillator use - Staff trained as fire wardens - Volunteer induction program - Trained HSR appointed to Libraries <u>Licensing</u> - Staff are required to hold “Working with children card” <u>PPE</u> - Disposable gloves available for cleaning duties <u>Other</u> - Staff have access to employee assistance scheme - Dedicated “Contact Officers” appointed - Electric tag and test undertaken annually - Emergency procedures developed for each library (fire, aggression, bomb threat) - Duress alarm installed in City Library - Hand-wash provided in multiple locations - Approved sharps disposal containers in toilets - Portable sharps containers available - First aid kits installed - Defibrillators installed - Security guard on duty at City Library on weekends - Security duress alarm installed at City & Casuarina Libraries	- Blower - Chemicals – Handling & Use - Chemicals – Spills & Leaks - Cleaning Chemicals - Electrical Appliances - Electrical Safety - Hand trolley - Fuel storage & handling - Ladders - Ladders (platform) - Manual Handling - Motor mower - Movement of loads - Photocopier - RCDs - RDC Testing - Sharps - Handling & Disposal - Spills & Leaks – clean up - Storage & Stacking of Materials - Working in public areas	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Private Use of Motor Vehicle - Traumatic Incident - Working in a Tropical Environment	Library Manager	? should staff be trained in verbal judo and conflict resolution - <i>Refresher training for fire wardens</i> - <i>Refresher training for first aiders</i> - <i>Refresher training – customer relations</i> - <i>Install duress alarm at City Library</i>
27 LIBRARIES – OFFSITE/OUTSIDE ACTIVITIES (Story time, school/crèche visits, shopping centre stalls)							
Library Manager Library technician Library assistant Trainees & graduates Work experience Casuals Temp agency staff	2wd van Personal vehicles Banners Chairs Electronic equipment Extension cords Tables, chairs & event props trolley	Abusive/aggressive persons Animal waste Electrical shock Heat stress Manual handling Outdoor work Working in the heat Working with children Working with the public Working in an uncontrolled environment	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Staff trained as senior first aiders - Trained HSR appointed to Libraries <u>Licensing</u> - Staff are required to hold “Working with children card” <u>PPE</u> - Disposable gloves available for cleaning duties <u>Other</u> - Staff have access to employee assistance scheme - Dedicated “Contact Officers” appointed - Electric tag and test undertaken annually - First aid kits (portable) available	- Electrical Appliances - Electrical Safety - Manual Handling - Outdoor work - Sharps -Handling & Disposal - Working in a tropical environment - Working in public areas	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment	Library Manager	? should staff be trained in verbal judo and conflict resolution - <i>Need to look at Paige & Dewey costumes get very hot</i>
28 COMMUNITY SERVICES – FUN BUS & FUN IN THE PARKS							
Fun Bus Coordinator Fun Bus Officer Fun Park Coord Children’s Services Trainees x 2 Casuals Volunteers	2wd coaster bus Children’s play equipment Tables & chairs Games equipment Water slide equipment Food prep equipment Paints & crayons (non tox)	Abusive/aggressive persons Nuisance/aggressive animals Food handling Food waste Manual handling Sun exposure Working with children Working with the public Working in the heat Working in uncontrolled environment low ration of supervision (staff versus attendees) Working in parks - falling debris/tree branches - contact with wildlife	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Cross cultural awareness - Staff trained as senior first aiders - Staff trained on portable fire fighting equipment <u>Licensing</u> - Staff are required to hold “Working with children card” <u>PPE</u> - Sunscreen, broad brimmed hats, sun smart polo shirts <u>Other</u> - Safety plans prepared for events - Water supplies provided - First aid kits provided - Fire fighting equipment provided - Emergency mobile phone contact - Emergency on-call support from Reg Svcs & Police - Post event debrief undertaken if incidents reported - Fortnightly review and evaluation meetings undertaken for safety issues	- Animal handling - Manual handling - Outdoor work - Portable fire fighting equipment - Sharps -Handling & Disposal - Working in a tropical environment - Working in isolation - Working in public areas	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment	Manager Community Development	? should staff be trained in verbal judo and conflict resolution

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) (and possible control improvements)	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
29 COMMUNITY SERVICES – COMMUNITY EVENTS (Big Gig, Homeless Connect, Senior’s Week, Children’s Week)							
Community & Cultural Services Staff Volunteers External caterers	2wd vehicles Display boards Tables & chairs Drink containers/eskies Banners Parks & public space Staging equipment Electrical equipment Extension cords Music & P/A equipment Skips/rubbish bins	Abusive/aggressive persons Nuisance/aggressive animals Exposure to illness/disease Food handling Food waste Manual handling Sun exposure Working with children Working with elderly persons Working with disabled persons Working with vulnerable population groups Working with the public Working in the heat Working in uncontrolled environment - low ratio of supervision : attendees Working in parks - falling debris/tree branches - contact with wildlife - sharps - animal/human waste	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Cross cultural awareness - Staff trained as senior first aiders - Staff trained on portable fire fighting equipment <u>Licensing</u> - Staff are required to hold “Working with children card” <u>PPE</u> - Sunscreen, broad brimmed hats, sun smart polo shirts <u>Other</u> - Safety plans prepared for events - Water supplies provided - First aid kits provided - Fire fighting equipment provided - Emergency mobile phone contact - Emergency on-call support from Reg Svcs & Police - Post event debrief undertaken if incidents reported - Fortnightly review and evaluation meetings undertaken for safety issues	- Animal handling - Electrical Appliances - Electrical Safety - Manual Handling - Outdoor work - Portable fire fighting equipment - Sharps -Handling & Disposal - Working in the heat - Working in Isolation - Working in public areas	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident - Working in a Tropical Environment	Manager Community Development	L: 2 C: 3 M ? should staff be trained in verbal judo and conflict resolution
30 OFFICE OF CEO - COMMUNITY ENGAGEMENT PROCESSES							
Elected members CEO COG members Senior staff Consultants Caterers	Council meeting facilities P/A equipment Chairs & tables Electrical equipment Catering equipment	Abusive/aggressive persons Emergency evacuation Food handling Food waste Manual handling Physical abuse Verbal abuse Working with the public Working with vulnerable population groups	<u>Training Programs</u> - Senior staff undertook IAP 2 training 2012 - Staff undertaken cross cultural awareness - Community consultation policy developed - Staff trained as senior first aiders - Staff trained on portable fire fighting equipment - Staff trained in defibrillator use <u>Licensing</u> - <u>PPE</u> - <u>Other</u> - Emergency evacuation procedures developed for the Civic Centre - First aid kits provided - Defibrillators installed in Council buildings - Firefighting equipment provided	- Electrical Appliances - Electrical Safety - Manual Handling - Portable fire fighting equipment - Working in public areas	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident	EM OCE	L: 2 C: 3 M

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) (and possible control improvements)	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS			
31 BUSINESS SERVICES - CUSTOMER SERVICES (Receipting cash, customer enquiries, issue permits)								L: 3	C: 2	M
Customer Services Officers	PCs Reception Counter Receptionist Chairs	Aggressive/abusive persons Armed hold-up Bomb threat Dangerous parcel Heavy lifting Repetitive use of arms and hands Sitting for extended periods Sun Exposure Working in the heat Working with the public	<u>Training Programs</u> - Staff trained in use of portable fire extinguishers - Staff trained as senior first aiders - Staff trained in defibrillator use - Trained HSR appointed to Admin Staff <u>Licensing</u> - nil <u>PPE</u> - nil <u>Other</u> - Emergency procedures developed, including armed/aggressive person, bomb threat, suspicious package - First aid kits available - Defibrillator installed	- Customer Service - Customer Service Workstations - Electrical Appliances - Electrical Safety - Manual handling - Outdoor work - Sharps -Handling & Disposal - Working in a tropical environment - Working in Isolation - Working in public areas	- Bullying & Harassment - Contractor Management - Drugs & Alcohol - Emergency Management - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - Traumatic Incident - Working in a Tropical Environment	Team Leader Customer Services	? should staff be trained in verbal judo and conflict resolution			
32 BUSINESS SERVICES – RECORDS MANAGEMENT								L: 2	C: 3	M
Records officers	Mail bags Mail cabinet (suspicious package) Boxed paper Photocopier/printer PCs Trolley	Heavy lifting Slips, trips & falls Mail contains contaminants	<u>Training Programs</u> - Staff trained in use of portable fire extinguishers - trained first aiders available - staff trained in safe mail opening procedures - Trained HSR appointed to Admin Staff <u>Licensing</u> - nil <u>PPE</u> - Enclosed footwear <u>Other</u> - Secure mail opening cabinet - Emergency procedures developed, including armed/aggressive person, bomb threat, suspicious package	- Electrical Appliances - Electrical Safety - Manual handling - Heavy lifting - Photocopiers	- Bullying & Harassment - Drugs & Alcohol - Ergonomic Inspection - First Aid - Incident Reporting - Induction & Training - Manual Handling - PPE - Traumatic Incident	Corporate Information Coordinator				
33 BUILDING MAINTENANCE – CARPENTRY								L: 2	C: 4	H
Carpenter Trades Assistant	Bandsaw Circular saw Drop/cut-off saw Panel saw Drill/drill press Orbital sander Drum sander Electric planer Extension cords General power tools General hand tools Glues & adhesives Iron on edge stripper Ramset gun	Burns Chemical fumes Contact with or ingestion of dust & waste material Cuts and lacerations Electrical shock Fire Manual handling Slips, trips, falls Working in the heat	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Staff are inducted in use of specific equipment - Staff trained in use of portable fire extinguishers - Staff trained as senior first aiders - Trained HSR appointed to Building Maintenance Team <u>Licensing</u> - Carpenters are trade qualified - NT white card <u>PPE</u> - Eye protection, face protection, hearing protection, dust masks, footwear, hats, sunscreen, sunglasses, long sleeved clothing <u>Other</u> - Dust extraction equipment installed - Cooling fans installed in workshop - RCDs attached to all equipment - Drinking water supplied for each staff member - PPE signage erected in workshop	- Band saw - Bench grinder - Carpentry Work - Circular Saw - Combination Sander (disk/belt) - Drop Saw - Drum Sander - Electrical Appliances - Electrical Safety - Electrical Testing - Hand tools - Manual handling - Panel Saw - Power Tools – Electric - Prevention of Slips, Trips & Falls - Router - Working in Hot Conditions	- Bullying & Harassment - Chemical Storage & Use - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Building Services	- Refresher training to be undertaken regularly in specific plant use - Carpenter is trade qualified - Supervisor oversees T/As using panel saw			

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>	SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS
34 BUILDING MAINTENANCE – METAL WORKING							
Carpenter Trades Assistant	Metal bandsaw Metal drop/cut-off saw Metal lathe Bench & pedestal grinder Angle grinder Drill/drill press Welder (arc, oxy, MIG, TIG)	Burns Chemical fumes Cuts and lacerations Electrical shock Exposure to welding arc Hot sparks & slag Hot and sharp material Manual handling Noise Slips, trips, falls Working in the heat	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Staff are inducted in use of specific equipment - Staff trained in use of portable fire extinguishers - Staff trained as senior first aiders - Trained HSR appointed to Building Maintenance Team <u>Licensing</u> - Structural welding ticket required - NT white card <u>PPE</u> - Eye protection, face protection, welding mask, hearing protection, dust masks, footwear, hats, sunscreen, sunglasses, long sleeved clothing <u>Other</u> - RCDs attached to all equipment - Cooling fans installed in workshop - Mobile welding screens - Drinking water supplied for each staff member - PPE signage erected in workshop	- Air Compressor - Angle Grinder - Bench Grinder - Buffing & Metal Polishing - Cut-off Wheel - Drill – Pedestal - Electrical Appliances - Electrical Safety - Electrical Testing - Gas Cylinders (Use & Storage) - Hand Tools - Lathe (Metal – Spinning) - Metal Bandsaw/Power Hacksaw - Pedestal Grinder - Power Tools – Electric - Prevention of Slips, Trips & Falls - Welding equipment - Working in Hot Conditions	- Bullying & Harassment - Chemical Storage & Use - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Building Services	-
35 BUILDING MAINTENANCE - PAINTING							
Carpenter Trades Assistant Contractors	Paints and thinners Rollers and brushes Spray painting equipment Compressor	Paint and chemical fumes Slips, trips, falls Work at height Working outdoors Working in public areas	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Staff trained in use of portable fire extinguishers - Staff trained as senior first aiders - Trained HSR appointed to Building Maintenance Team <u>Licensing</u> - NT white card <u>PPE</u> - Masks, protective clothing <u>Other</u> - Water base paints used - RCDs attached to all equipment - Cooling fans installed in workshop - Drinking water supplied at Ops Centre - Each staff member provided with personal water jug - PPE signage erected in workshop	- Air Compressor - Barricading of Worksites - EWP - Ladders - Platform Ladders - Prevention of Slips, Trips & Falls - Safety Harnesses - Scaffolding - Scissor Lift - Working in Hot Conditions - Working in Public Areas	- Bullying & Harassment - Chemical Storage & Use - Drugs & Alcohol - First Aid - Hearing Protection - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE - Tag-out Faulty Equipment - Traumatic Incident - Working in a Tropical Environment	Team Leader Building Services	- Minimal painting undertaken by Building services – mainly small jobs - Large scale work undertaken by contractors
36 BUILDING MAINTENANCE – CLEANING BUILDINGS							
Cleaners Temp staff	Cleaning chemicals Anti-bacterial materials Mop, bucket, broom	Contact with or ingestion of chemicals Electrical shock Repetitive bending Heavy lifting Slips, trips, falls General waste Food waste	<u>Training Programs</u> - Staff induction includes “working in the heat” and “Saving Our Skins” - Trained HSR appointed to Building Maintenance Team <u>Licensing</u> - <u>PPE</u> - <u>Other</u> - Low level toxicity chemicals used - MSDS in storage cupboard for all chemicals on issue	- Barricading of Worksites - Chemicals – Handling & Use - Chemicals – Spills & Leaks - Cleaning Chemicals - Prevention of Slips, Trips & Falls - Sharps – Handling & Disposal	- Bullying & Harassment - Chemical Storage & Use - Drugs & Alcohol - First Aid - Incident Reporting - Induction & Training - Manual Handling - Occupational Licensing - PPE	Team Leader Building Services	

STAFF ENGAGED	PLANT & MATERIALS USED	IDENTIFIED RISKS & HAZARDS	CONTROLS (inc PPE) <i>(and possible control improvements)</i>		SOPs in Library	STANDARDS	RISK OWNER	ACTION ITEMS		
37 BUILDING MAINTENANCE – ASBESTOS MANAGEMENT									L:	C:
Contractors			<u>Other</u> - Terms and conditions of tender require contractors to be licensed for asbestos removal - Terms & conditions of tender require that contractors have OHS management system or be inducted into CoD worksites by the CoD site supervisor	-	-		Team Leader Building Services			
38 BUILDING MAINTENANCE – PLUMBING WORKS									L:	C:
Contractors			<u>Other</u> - Terms and conditions of tender require contractors to be licensed for plumbing works - Terms & conditions of tender require that contractors have OHS management system or be inducted into CoD worksites by the CoD site supervisor	-	-		Team Leader Building Services			
39 BUILDING MAINTENANCE – ELECTRICAL WORKS									L:	C:
Contractors			<u>Other</u> - Terms and conditions of tender require contractors to be licensed for electrical works - Terms & conditions of tender require that contractors have OHS management system or be inducted into CoD worksites by the CoD site supervisor	-	-		Team Leader Building Services			
40 BUILDING MAINTENANCE – AIRCON & HV									L:	C:
Contractors			<u>Other</u> - Terms and conditions of tender require contractors to be licensed for electrical and air-conditioning works - Terms & conditions of tender require that contractors have OHS management system or be inducted into CoD worksites by the CoD site supervisor	-	-		Team Leader Building Services			

**ENCL: RISK MANAGEMENT & AUDIT
YES COMMITTEE/OPEN**

AGENDA ITEM: 9.3

PROGRESS REPORT ON THE INTERNAL AUDIT PLAN

REPORT No.: 15A0073 TS:mp

COMMON No.: 1536877

DATE: 29/05/2015

Presenter: Team Coordinator Risk, Audit & Safety, Tony Simons

Approved: General Manager Corporate Services, Diana Leeder

PURPOSE

The purpose of this report is to inform the Risk Management & Audit Committee (RMAC) as to the progress of the 2014 - 2015 Internal Audit Plan.

LINK TO STRATEGIC PLAN

The issues addressed in this Report are in accordance with the following Goals/Strategies of the City of Darwin 2012 - 2016 as outlined in the 'Evolving Darwin Towards 2020 Strategic Plan':-

Goal

5 Effective and Responsible Governance

Outcome

5.3 Good governance

Key Strategies

5.3.3 Understand and manage Council's risk exposure

KEY ISSUES

- The City of Darwin manages an Internal Audit Plan that is derived from the results of strategic and operational risk assessments, and the strengths or weaknesses of internal controls identified in those assessments
- Plans are prepared for two forward years and approved by the Committee after consideration by Chief Officers Group
- The audit plan for 2014/15 was approved by the Committee in March 2014
- At its March 2015 meeting, the Committee proposed further amendments to the 2014/15 audit plan by removing the audit of fuel rebates and the audit of credit card management as this had been covered adequately in a recent audit of procurement processes

RECOMMENDATIONS

THAT the Committee resolve under delegated authority:-

THAT Report Number 15A0073 TS:mp entitled Progress Report on the Internal Audit Plan, be received and noted.

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 REPORT NUMBER: 15A0073 TS:mp
 SUBJECT: PROGRESS REPORT ON THE INTERNAL AUDIT PLAN

BACKGROUND

In order to assist with tracking of audit assignments, the Team Coordinator Risk Audit & Safety has prepared a comprehensive Internal Audit Plan that incorporates past, current and future audit assignments. Information on this plan dates back to 2009. This will enable the RMAC to better track and manage the coverage of audit programs in the out years. The tracking sheet is **Attachment A**.

The RMAC requires a comprehensive document to be maintained for the audit plan (**Attachment B**), which sets out key objectives for all internal audits and also identifies strategic and operational risks and controls as they apply to audits. This document is presented to the RMAC annually and is used to develop the engagement letters and terms of reference for audit assignments.

DISCUSSION

Forward Audit Plan

At its March 2015 meeting RMAC was presented with following proposed audit plan for 2015 :-

- Implementation of Council Decisions
- Payment of Elected Members' Allowances and Payments
- Investment Management
- Fuel Rebate assessment

RMAC recommended that the fuel rebate audit be removed from the plan and be undertaken as an internal review.

Current Audit Plan Status

Audits of Council Decisions and Payment of Allowances have been completed and reports were presented to the Committee at its March 2015 meeting.

Terms of reference for the audit of investment management have been prepared and discussed with the Manager Finance. Due to staffing issues and other work priorities the audit has not yet commenced, however preliminary discussions have been held with the auditor and work will commence once budget and end of year priorities are finalised and key staff return to their normal duties.

CONSULTATION PROCESS

Information for this report is drawn from the internal audit program management documentation.

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POLICY IMPLICATIONS

Nil

BUDGET AND RESOURCE IMPLICATIONS

Nil

RISK/LEGAL/LEGISLATIVE IMPLICATIONS

Risk implications relate to Council achieving its goal of implementing and maintaining strategic and operational risk assessments, risk based audit plans, and risk based control self-assessment plans, and demonstrating an adequate internal audit capacity.

ENVIRONMENTAL IMPLICATIONS

Nil

COUNCIL OFFICER CONFLICT OF INTEREST DECLARATION

We the Author and Approving Officers declare that we do not have a Conflict of Interest in relation to this matter.

TONY SIMONS
TEAM COORDINATOR RISK AUDIT & SAFETY

DIANA LEEDER
GENERAL MANAGER
CORPORATE SERVICES

For enquiries, please contact Tony Simons on 8930 0689 or email: t.simons@darwin.nt.gov.au.

Attachments:

Attachment A: Internal Audit Plan Tracking Sheet
Attachment B: Internal Audit Management Plan

AUDIT TITLE & OBJECTIVES	SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
STRATEGIC PERFORMANCE - Examination of the processes adopted by Council to monitor and report against strategic objectives and performance measurement metrics, including alignment of metrics with the corporate plan, accuracy and integrity of data capture and accuracy of metrics being reported to key stakeholders	Q1 2012/13	- Review and comment on - Measures that Council has set in place to address risks and control identified in Operational Risk Assessments - monitoring and reporting practises for strategic objectives - adequacy and applicability of KPIs - alignment between corporate and operational business plans and monitoring and reporting metrics - accuracy and integrity of data capture - Test for effectiveness and compliance with specific internal controls - Development of the strategic plan is a collegiate process involving the Chief Officers Group and managerial staff. - Council has committed to providing Council half yearly progress reports against Strategic Plan . - Strategic planning processes include widespread community & stakeholder consultation - Coordination of reporting and recording performance is by a dedicated resource with OCE - Interplan updated every month to record progress against actions and KPIs - Reminder notices sent to responsible officers to record progress - Council has committed to providing Council half yearly progress reports against Strategic Plan - Development of the customer survey is undertaken in conjunction with the General Managers and Executive Manager - External researchers are engaged and use demographic sampling aligned to the community profile - Hard copy of the survey is made available to the public - Survey is made available to ratepayers on-line - Comprehensive report is prepared showing survey results and highlighting areas for improvement. - Comprehensive report is discussed in detail by the Chief Officers Group. - Action plans to address required improvements are prepared by General Managers - Control self assessment processes are in place - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	H	M	H	M
			- DCC does not implement and manage effective corporate governance and risk management frameworks - Council does not develop effective communications strategies to inform the community and other stakeholders regarding council's decision making processes		- Failure to engage staff and managers in the development of strategic goals and strategies - Failure to report and manage performance against strategies and KPI's - Failure to ensure that the community satisfaction survey is provided in a sufficiently broad spectrum of media - Failure to ensure satisfaction criteria and performance benchmarks are relevant to services provided - Failure to put in place action plans to address issues raised in survey responses	

AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
OHS MANAGEMENT SYSTEM - Examination of Council's workplace health and safety management systems in line with the principles set out in Australian Standards AS 4801 & 4804 and compliance with NT WHS Legislation	Q2 2012/13		- Review and comment on - Measures that Council has set in place to address OHS risks identified in Operational Risk Assessment - the structure and quality of Council's OHS MS systems and documentation to ensure the principles set out in Australian Standards AS 4801 and 4804 are being addressed, and that NT Legislative requirements are being met - the structure and performance of the OHS Committee and its degree of compliance with legislative requirements - the quality of OHS policies and procedures and the extent to which they address Council operations - the structure and quality of OHS audit and reporting processes - the structure and quality of OHS training and communication regimes - test for effectiveness and compliance with specific internal controls - OHS Management system developed including policies, standards & operating procedures - OHS specific website established on the intranet with all OHSMS documentation, reports and WHS committee information - OHS training is part of employee induction and managed by OHS Committee and Employee Relations - Refresher training undertaken regularly - Role specific training provided at the worksite - Certificates are required to perform designated works - Licenses required to operate designated plant and equipment - OHS audit and inspection program in place - OHS incident data base developed and used for tracking problem areas - OHS outcomes reported in the Annual Report - OHS bulletins published regularly - External parties provided with OHS induction - Major third party operators have discrete OHS policies and systems - DCC and major operators exchange OHS Policies - incident tracking data base is in place and reported to the OHS Committee and COG - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	H	M	E	E
				- Failure to embed an OHS awareness culture across the organisation - Legislative requirements not met - Deficiencies in OHS Management System procedures - Failure to ensure that contractors and third parties operating within Council environs are aware of and manage their OHS responsibilities - Failure to record and report OHS incidents and non-conformances			
STRATEGIC & OPERATIONAL RISK ASSESSMENTS - Review of the processes undertaken to develop the strategic and operational risk assessments and opinion on any gaps in risks & controls identified	Q3 2012/13		- Review processes used in development of SRA and ORAs are undertaken in accordance with the principles outlined in the risk management standard ISO/AS 31000 - Review and comment on - the alignment of SRA and ORAs with strategic planning and business outputs - consistency of approach to development of ORAs across City of Darwin's four departments - the processes undertaken to develop both SRA and ORAs, in particular the extent to which development processes were inclusive of staff and the extent to which risk management knowledge has been instilled across the organisation - any potential omissions from "causal risk" and "internal control" measures identified on ORAs and SRA - Measures that Council has set in place to address risks identified in City of Darwin Operational Risk Assessment - Test for effectiveness and compliance with specific internal controls - City of Darwin employs Risk and OHS Advisor to promote risk management awareness - City of Darwin has developed RM Policy and Standards based on ISO31000 - Dedicated web-site developed as a central point of information for risk management - City of Darwin undertakes regular assessment of strategic and operational risks - Reporting on strategic and operational risk is monitored by COG and Risk Management & Audit Committee - Programs in place to undertake risk assessments for all project based activity - Business continuity plans developed - Policies and standards are promoted by COG and business managers - Operational risk assessment is linked to directly annual business planning - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	H	M	E	M
				- City of Darwin does not implement and manage effective corporate governance and risk management framework - City of Darwin does not implement processes to identify and implement contemporary best practise business systems - Failure to embed a risk management culture within the organisation - Failure to develop, implement and manage policies and standards relating to risk management activity - Failure to review operational risk assessments regularly			

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AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE		STRATEGIC RISKS	OPERATIONAL RISKS
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AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
			- Review and comment on quality of processes undertaken to manage its purchasing and procurement activities - Existence of, and quality of policy and procedures governing purchasing and procurement - Existence of, and quality of policy and procedures for tendering - Effectiveness of existing system controls within accounting systems covering purchasing and procurement processes - Effectiveness of the financial delegation structures - Benefits/gaps in existing procurement practises - Potential benefits of establishing a centralised procurement unit - test for effectiveness and compliance with specific internal controls - Requirement for purchasing and procurement policy and procedures is determined initially by legislation and accounting standards - Internal processes include separation of duties and cross checking - Procurement policy and guidelines have been developed - Fraud management policy and procedure in place - Financial and procurement delegations in place and reviewed annually - Financial Services regularly review levels of delegation to ensure appropriateness - All staff are required to undergo purchasing training and once trained, flat delegation of \$3k applies - CEO has responsibility for assigning delegations – based on Manager recommendation and GM approval - Structured tender assessment processes in place including requirement for review and approval - Purchases over \$10,000 but not more than \$100,000 require 3 written quotations that are recorded in AUTHORITY against the purchase order - If 3 quotations cannot be obtained the reason why must be recorded in AUTHORITY against the purchase order - Purchases over \$100,000 are required to go to public tender - A purchase order is required to be raised in advance of each purchase and approved by two officers - The requisitioning officer signs the order to acknowledge the goods or services have been received - The authorising officer signs the order to approve payment - the requisitioning officer and authorising officer should not be the same person - The authorising officer must have the appropriate delegated authority to approve payment; different levels apply to contract and non-contract purchases - Financial Services review payments to ensure approval by officer with appropriate delegation - System access control in place within Authority to ensure separation of functions specific to each user ID - A purchase order is required to be raised in advance of each purchase and approved by two officers - Requisitioning officer signs the order to acknowledge the goods or services have been received - Authorising officer signs the order to approve payment and the requisitioning officer and authorising officer should not be the same person - Authorising officer must have the appropriate delegated authority to approve payment; different levels apply to contract and non-contract purchases - AP match the approved purchase order to the invoice prior to payment - Where multiple invoices are received for the same creditor, it is sufficient that the payment reconciliation is signed by the requisitioning officer and authorising officer - Changes to the creditors master file are made either from a new creditor form or directly from creditor documentation - Documentation pertaining to creditor master file changes are filed in the creditor payment history file - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	H	M	M	L
PROCUREMENT & PURCHASING - Review the processes undertaken in procurement and purchasing, including policies, procedures, raising purchase orders, quotations and payment for services		Q4 2012/13		- failure to understand and comply with the requirements of the Local Government Act - failure to comply with the Code of Conduct - City of Darwin does not implement processes to identify and implement contemporary best practise business systems - City of Darwin does not implement and manage effective corporate governance and risk management frameworks		- Failure to identify the need for, and develop, Financial Services specific policies and standards - Failure to put in place processes to detect non-compliance with policies and standards - Failure to provide correct level of financial delegation to ensure officers are able to effectively carry out their duties - Failure develop and adhere to approved procurement policy and processes - Failure to ensure separation of duties for accounts payable processes - Failure to undertake reconciliation of creditors - Failure to manage access to creditors master file - Failure to manage and control EFT payments and reconcile to accounting systems - Deficiencies in systems to manage credit card purchases	

AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
TAXATION COMPLIANCE - Ensure compliance with taxation requirements as per Commonwealth and NT legislation	Q1 2013/14		- Review and comment on quality of processes undertaken to manage taxation regime requirements - Measures that Council has set in place to address risks identified in City of Darwin Operational Risk Assessment - The extent to which taxation reporting processes meet the requirements of the Local Government Act - Accuracy and timeliness of Fringe Benefits Tax Return preparation and lodgement - Processes in place to monitor, record and report Vehicle use - Processes in place to monitor, record and report Entertainment expenses - Business Activity Statement preparation (GST) - Payroll tax return preparation - Test for effectiveness and compliance with specific internal controls - Staff processing transactions are given appropriate GST training - Staff preparing FBT returns are sent to annual FBT training - Forms relating to entertainment and motor vehicles are completed to ensure that only legitimate benefits are reported and subsequently used as a basis on which to calculate FBT - Source documents are agreed to FBT calculations - Financial Accountant reviews the FBT calculations as documented in the spreadsheet reconciliations and agrees these calculations to the 'FBT return' contained in the spreadsheet - Financial Accountant completes, authorises and submits the FBT return to the ATO - Source documents are agreed to GST calculations for GST claimed i.e. payments made by DCC to suppliers - Tax invoice should at least include: the words 'tax invoice', name of supplier, ABN of supplier, show the amount of GST to be paid or contain a statement 'total includes GST' or similar - Source documents are agreed to GST calculations for GST paid i.e. payments received from customers - Source documents are agreed to payments made to suppliers where no GST has been calculated i.e. 'GST free purchases'. - If a supplier issues a tax invoice without GST the supply must be GST free. - If the supplier does not issue a tax invoice and they have an ABN the supply does not attract GST - If the supplier does not have an ABN they must complete a 'Statement by a Supplier' declaration before they can be paid; these can be kept on file for up to five years. Refer to GST legislation for further guidance - BAS is prepared from a dedicated spreadsheet - An exception report for different GST codes is run and reviewed in the spreadsheet. - Anomalies are checked when GST on purchases does not equal 10% - A reconciliation is performed between the BAS figures submitted via the ATO'S ECI program and the spreadsheet - reconciliation is recorded on the Goods and Services Calculation Sheet - After the BAS has been lodged a check is performed to ensure payment has been received. A copy of the bank statement showing the deposit received is filed with the BAS - An officer with the appropriate delegations approves the BAS - Control Self-Assessment in place provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	H	L	M	L
				- City of Darwin does not implement and manage effective corporate governance and risk management frameworks - City of Darwin does not implement processes to identify and implement contemporary best practise business systems - failure to understand and comply with the requirements of the Local Government Act - Incorrect treatment of transactions with FBT and GST implications - Failure to meet lodgement and reporting deadlines - Vehicle log books not maintained for home garaging			

AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
ASSET MANAGEMENT - Examine Council's approach to total asset management, including alignment between management systems controlled by both Infrastructure and Finance	Q2 2013/14	- Review and comment on measures in place to address strategic and operational risks identified in City of Darwin SRA - Confirm asset management plans are in place to manage critical assets - Examine asset maintenance processes to ensure controls are effective over planning, monitoring and recording of assets - Review and comment on the quality of asset management systems (Authority) and integration across multiple asset management platforms - Test for effectiveness and compliance with specific internal controls - Asset Management Steering Group in place and meets quarterly - Development of procedures undertaken for data collection and asset management - Cyclic reviews undertaken of policies, standards and procedures - Asset management roles and responsibilities allocated to specific individuals across the organisation - Implementation of asset sustainability review recommendations will ensure policies, standards and procedures are developed and monitored - Assets surveyed on a cyclical program, depending on class of asset - Corporate asset management plan sets out the survey classes and cycles - Asset data stored on Map Info and Corporate Asset Register - Dedicated Officers utilise the Australian Infrastructure Financial Management Guidelines as a reference to ensure asset revaluations are consistent and meet legislative requirement for local governments - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	H	L	E	H	
			FINANCE - Council does not have an approved policy to manage asset acquisitions and disposals - Council does not develop and maintain a register of portable & attractive items - failure to ensure correct rates of depreciation are applied to correct asset classes as per taxation guidelines - failure to ensure asset management systems used in Finance and Asset management Branches are aligned and integrated ASSET MANAGEMENT - Failure to develop and promote asset management policies, standards and procedures - Failure to develop and implement a robust infrastructure asset condition inspection program - Failure to develop and implement corporate and individual infrastructure asset management plans - Failure to ensure all assets are subject to three yearly revaluation - Failure to develop, implement and maintain a corporate asset register - City of Darwin is reliant on limited number of qualified staff to maintain asset management systems - Asset register software failure				
RECORDS MANAGEMENT - Confirm compliance with records management legal requirements and accepted records management standards	Q3 2013/14	- Records management policies and procedures exist and system is managed in accordance with approved records management standards in respect of the following: - records are being captured, registered, archived and disposed of in an authorised manner - records are able to be retrieved efficiently - sensitive information is protected by applying security profiles that match business requirements - ECM faults and errors are resolved - Manage ECM files including linking to appropriate indexes - Ensure that all staff are provided with training in the use of the electronic document management system: - Records are retained according to an authorised retention and disposal schedule	H	L	H	M	
			- Council's organisational structure, culture and values do not support the achievement of strategic objectives - City of Darwin does not implement processes to identify and implement contemporary best practise business systems - City of Darwin does not implement and manage an effective corporate governance framework - failure to meet the obligations of the communications act - Failure to develop and embed a strong records management culture across the organisation - Records management system does not adequately address the requirements of business departments and or legislation - Inappropriate security level applied - Failure to follow file structure rules, thesaurus and naming conventions - Failure to ensure staff are trained in EDMS - Inadvertent disposal of file prevents COD from providing evidence to justify actions, prove compliance with legislative requirements, satisfy audit requirements - Disposal schedules are not updated to reflect legislative or other change which may impact on disposal date - Appraisal process is inadequate resulting in records being destroyed in contravention of authorised retention and disposal schedule				

AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
ENVIRONMENTAL MANAGEMENT SYSTEMS and CLIMATE CHANGE MANAGEMENT - Follow up audit on outcomes from the 2011 audit	Q4 2013/14	- Review and comment on actions taken or proposed in relation to recommendations arising from the Deloitte audit report 2012 - Review processes used to ensure that Council proactively manages its environmental and climate change responsibilities : - Compliance with environmental legislation - Implement and maintain a climate change policy - Communicate Council's climate change plans and actions to the public - Manage Council's energy consumption levels and carbon emissions - Maintain existing and create new relationships with relevant Government and Non-Government Environmental Organisations - Ensure compliance with Federal and Territory climate change legislation - Test for effectiveness and compliance with specific internal controls - Reporting requirements for environmental impact are included in all reports to Council and sub-committees - Regular bulletins and information sessions conducted by Climate Change and Environment Section - New staff induction program includes a presentation of the CC & E section and expectation of new staff - Meeting legislative requirements are included in contract and lease conditions - Regular reviews of lease and contract conditions are undertaken - Inspection and monitoring regimes in place - Contractors report on environmental issues 1/4erly and annually - Environmental audits undertaken by external parties - Climate Change Policy adopted 2010 - Climate Change Action Plan adopted 2011 - Council reports against Climate Change Action Plan activities through business management systems and the Annual Report - Action Plan reviewed every three years - Regular information bulletins and education sessions are conducted by CC & E Section through the "Green Office" program - Energy audits undertaken bi-annually - Greenhouse gas emission inventory undertaken annually - Internal tracking of electricity consumption data is undertaken - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	- City of Darwin does not effectively manage climate change initiatives - water conservation initiatives not embedded as a key component of environmental management plans - failure to develop and implement future stormwater management plans - City of Darwin does not effectively engage with key harbour management stakeholders (DHMAC, DPC, NRETAS, EPA) in the development of its environmental management plans - City of Darwin does not develop, implement and manage a comprehensive environmental management system that embraces contemporary best practise	H	L	H	M
IMPLEMENTATION OF COUNCIL DECISIONS - Examination of processes undertaken to ensure Council decisions are recorded, assigned to a responsible officer, actioned and monitored	Q1 2014/15	- Review and comment on measures in place to address strategic and operational risks identified in City of Darwin SRA and ORA - Test for effectiveness and compliance with specific internal controls - All Council meetings are minuted - New version of ECM implemented April 2012 which means that workflows within ECM capture decisions, assign to responsible officer and manage and report on progress - Council minutes note actions required and assign to specific officers - Minutes are sent to all staff for noting of action items - Action items tasked in ECM to responsible Officers - Outcomes for action items is reported at subsequent Council meetings - All outstanding decisions are reported to COG and reviewed on a quarterly basis and reports published on the Elected Members Intranet - Control self-assessment in place - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	- City of Darwin does not implement and manage an effective corporate governance framework - Failure to understand and comply with the requirements of the Local Government Act - Lack of, or perception of lack of integrity of staff and elected members	H	M	E	L

AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
INVESTMENT MANAGEMENT - Examine council's investment policy and operational investment management procedures to ensure the following :- o compliance all conditions as set out in the policy o compliance with approved investment procedures o compliance with applicable legislative frameworks - offer opinion on the strengths of existing policy and procedures and note any omission from policy and procedures that may present a risk to Council	- Review and comment on measures in place to address strategic and operational risks identified in City of Darwin SRA and ORA - Test for effectiveness and compliance with specific internal controls o Council has an endorsed Investment Policy and procedures o Policy and procedures sets out investment limits and thresholds o Monthly investment report is provided to COG and Council to ensure that investment limits and thresholds are not exceeded o Three interest rate quotes are obtained for the required term o The Management Accountant or Financial Accountant signs the Statement of Investment of Surplus Funds to authorise acceptance of the quoted interest rate and term o Ability to place or roll over an investment is restricted to authorised officers, placement of the investment is approved by the Finance Manager, the Management Accountant, or Financial Accountant Manager o Redemption of investments must be approved by the Management Accountant, Financial Accountant or Finance Manager. o After being redeemed the investment register is marked 'redeemed' and placed in a separate file. o A check is performed that the investment is debited in the bank account o The investment spreadsheet is reconciled to the General Ledger on a monthly basis. o Both the investment principle and investment interest are reconciled and the reconciliations are approved by the Management Accountant o Control self-assessment in place - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	Q3 2014/15	- City of Darwin does not implement and manage an effective corporate governance framework - lack of or ineffective governance policies, standards and procedures - inadequate long and short term financial planning and budgetary processes to support the achievement of objectives - financial loss and asset degradation - potential for intervention by NTG – appointment of administrator - failure to understand and comply with the requirements of the Local Government Act - media and reputation risk	E	M	H	M

AUDIT TITLE & OBJECTIVES	SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
ELECTED MEMBER'S ALLOWANCES - Ensure allowances and professional development payments to Elected Members, and Members' comply with Council policies and ministerial guidelines	Q2 2014/15	- Review and comment on quality of processes undertaken to manage access to, approval of and payment of allowances and professional development payments is managed in accordance with approved policies, procedures and legislation - Existence of, and quality of policy and procedures governing payment of allowances and professional development entitlements - Effectiveness of the financial delegation structures - Benefits/gaps in existing policies and procedures - test for effectiveness and compliance with specific internal controls - Provide comments on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable OFFICE OF CEO CONTROLS - requirements under the Local Government Act Sections 73, 74, 75, 76 - Code of Conduct developed for Elected Members LG Act Sections 75, 76, 77, 78 - LG Act compliance checklist in place and monitored by OCE - Elected members may be subject to action under the provisions of the LG Act - Elected members are provided with an IT package, including internet/intranet facility - Professional development allowance is available to all Elected Members - Additional development opportunities are made available to elected members CORPORATE SERVICES CONTROLS - Privacy and Confidentiality Policy and Procedures in place - System access control in place within Authority to ensure separation of functions specific to each user ID - A purchase order is required to be raised in advance of each purchase and approved by two officers - Requisitioning officer signs the order to acknowledge the goods or services have been received - Authorising officer signs the order to approve payment and the requisitioning officer and authorising officer should not be the same person - Authorising officer must have the appropriate delegated authority to approve payment; different levels apply to contract and non-contract purchases - AP match the approved purchase order to the invoice prior to payment - Where a purchase order has not been raised the requisitioning and authorising officer must both sign the invoice or Payment Authorisation - Where multiple invoices are received for the same creditor, it is sufficient that the payment reconciliation is signed by the requisitioning officer and authorising officer - All purchases within Australia are required to be supported by a tax invoice	H	M	E	M
			- Failure to comply with the requirements of the local government act - Failure to comply with the code of conduct - Lack of, or perception of lack of integrity of elected members - Failure to ensure skills of elected members are maintained - o Failure to provide effective leadership - o Ineffective decision making processes - o "Single issue" focus rather than holistic management - o Reputation management implications - Failure to provide elected members with appropriate tools and resources to effectively undertake their duties - o Access to ICT systems			
			- Privacy & Confidentiality Policy not adhered to - Failure to ensure separation of duties for accounts payable processes - o Failure to verify invoices prior to payment - o Unauthorised purchase/fraudulent purchase - o Duplicated payments - o Expenditure outside of delegations - o Expenditure assigned to incorrect cost codes			

AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
BUDGET DEVELOPMENT & LONG TERM FINANCIAL PLANNING - Examine the processes used by Council to develop its annual operational budget, including allocation of dedicated budget lines and justification of budget bids	Q2 2015/6	-					
FINANCIAL SUSTAINABILITY - Infrastructure capital and financial capital is able to be maintained over the long-term	Q3 2015/6	-					
CONTROL SELF ASSESSMENT PROGRAM - Examination of processes undertaken in establishing control effectiveness assessments as part of Council's on-line control self-assessment program	Q4 2015/16	- Review and comment on measures in place to address strategic and operational risks identified in City of Darwin SRA and ORA - Ensure adequacy of linkages between operational risk assessments and CSA system - CSA policy and standards - CSA reporting processes - Standards for working papers - Review adequacy of testing requirements - Review and comment on adequacy of testing methodologies undertaken by assessors and reviewers - Comment on quality and coverage of reporting to the RMAC - Test for effectiveness and compliance with specific internal controls - use of CSA is mandated by COG - Risk & OHS Advisor conducts detailed CSA training program - COG and Audit Committee review outcomes from CSA - Internal audit reviews quality of CSA program and outcomes and feedback used for continuous improvement - CSA program is directly linked to ORAs and updated annually in conjunction with the review of ORAs - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	H	M	H	L	- Managers fail to embrace CSA as a legitimate risk management tool - Business unit managers fail to adhere to CSA policy and procedures - Failure to ensure CSA program captures risks identified in ORAs



INTERNAL AUDIT PLAN

INTERNAL AUDIT

TIMING

AUDITOR &
ESTIMATED
COST \$

COMMENTS

AUDIT YEAR **2009/10**
**CAR PARKING MANAGEMENT
REVIEW**

Q1

DELOITTE
\$15,000

- Audit undertaken March 2009
- Report to RMAC June 2009

**PROJECT MANAGEMENT &
GOVERNANCE**

Q1

COLLINS
ANDERSON
\$25,000

- Audit undertaken March 2009
- Report to RMAC June 2009

**CREDIT CARD PAYMENTS AND ON-
LINE RECEIPTING**

Examination of IT security control surrounding the on-line credit card payment and receipting process, including user access, confidentiality of customer information and system updates

Q1

CQR
CONSULTING
\$12,800

- Report to RMAC August 2010

**ASSET MANAGEMENT & FINANCIAL
SUSTAINABILITY**

Infrastructure capital and financial capital is able to be maintained over the long-term

Q3

ACCESS
ECONOMICS
JEFF RORDA
ASSOC
\$40,000

- Report to RMAC October 2009

**'AUTHORITY' UPGRADE PRE AND
POST IMPLEMENTATION**

Q4

\$24,000

- Commenced August 2009
- Report to RMAC October 2009

AUDIT YEAR **2010/11**
FRAUD POLICY & RISK ASSESSMENT

Fraud risk management system, policies, procedures, whistle blowers and fraud risk training

Q2

DELOITTE
\$13,000

- ToR and engagement letter signed May 2011
- Report to RMAC August 2011

PERIOD END PROCESSES

Examine Council's period end financial close process to consider the process effectiveness and efficiency and the associated internal controls and consider whether the process risks are being mitigated.

Q3

DELOITTE
\$12,000

- Report to RMAC March 2011

BUSINESS CONTINUITY PLANNING

Examine Council's business continuity plans and implement BC on-line systems to develop departmental and team based continuity plans

Q4

BCM
SOLUTIONS
\$50,000

- Report to RMAC March 2012

AUDIT YEAR **2011/12**

73

INTERNAL AUDIT PLAN

INTERNAL AUDIT

TIMING

AUDITOR & ESTIMATED COST \$

COMMENTS

ENVIRONMENTAL MANAGEMENT PLAN

Examination of monitoring the compliance with Council's Environmental Management Plan.

Assess the quality of EMPs against the framework of ISO 14001

Assess the performance of systems that Council has in place to monitor and report its performance against its environmental outcomes and key strategies set out in the Strategic Plan

Q3

DELOITTE
\$40,000

- Report to RMAC February 2012

FLEET MANAGEMENT

Examination of the controls around managing the Council's fleet including acquisition, disposal and maintenance. Confirm asset management plans are in place to assist in managing individual assets and understand how these plans are managed with Council systems

Q3

DELOITTE
\$24,000

- ToR and engagement letter signed November 2011
- Report to RMAC February 2012

OHS MANAGEMENT SYSTEM

Examination of Council's workplace health and safety management systems in line with the principles set out in Australian Standards AS 4801 & 4804 and compliance with NT WHS Legislation

Q2

MARSH
\$37,000

- Terms of reference drafted and issued to audit firm September 2012.
- Audit undertaken Dec 2012
- Draft report due Jan 2013
- Report tabled RMAC August 13

AUDIT YEAR 2012/13

STRATEGIC PERFORMANCE

Examination of the processes adopted by Council to monitor and report against strategic objectives and performance measurement metrics, including alignment of metrics with the corporate plan, accuracy and integrity of data capture and accuracy of metrics being reported

Q1

BDO
\$27,000

- Terms of reference drafted Sept 2012 and potential pool of auditors identified
- ToR to EM OCE for approval Sept 2012
- Approved by EM OCE Jan 2013
- ToR Issued to service providers Jan 2013
- Report tabled RMAC Nov 13

STRATEGIC & OPERATIONAL RISK ASSESSMENTS

Review of the processes undertaken to develop the strategic and operational risk assessments and opinion on any gaps in risks & controls identified

Q2

DELOITTE
\$24,000

- Terms of reference drafted and issued to audit firm December 2012
- Audit undertaken Dec 2012
- Draft report due Jan 2013
- Report tabled RMAC Aug 13

INTERNAL AUDIT

TIMING

AUDITOR & ESTIMATED COST \$

COMMENTS

AUDIT YEAR 2013/14

PURCHASING & PROCUREMENT

Review the processes undertaken in procurement and purchasing, including policies, procedures, raising purchase orders, quotations and payment for services

Q2

DELOITTE
\$46,000

- Terms of reference drafted and issued to audit firm May 2013
- Audit undertaken May/June 2013
- **Report tabled RMAC August 13**

TAXATION COMPLIANCE

Ensure compliance with taxation requirements as per Commonwealth and NT legislation

Q3

DELOITTE
\$23,000

- Terms of reference sent to internal auditors October 2013
- Audit commenced Feb 2014
- Audit completed March 2014
- **Report tabled RMAC May 2014**

ENVIRONMENTAL MANAGEMENT SYSTEMS

Follow up audit on outcomes from the 2011 audit

Q3

DELOITTE
\$21,000

- Terms of reference sent to stakeholders Feb 2014
- Terms of Reference sent to internal auditors February 2014
- Audit commenced March 2014
- **Report tabled RMAC August 2014**

ASSET MANAGEMENT

Examine Council's approach to total asset management, including alignment between management systems controlled by both Infrastructure and Finance

Q4

DELOITTE
\$26,000

- Terms of Reference sent to stakeholders February 2014
- Terms of reference sent to internal auditors March 2014
- Audit commenced April 2014
- **Draft report with Managers Finance and Technical Services September 2014**

RECORDS MANAGEMENT

Confirm compliance with records management legal requirements and accepted records management standards, and assess user culture issues

Q4

LATITUDE12
\$12,500

- Auditor appointed
- Entry interview and audit planning workshop conducted April 2014
- **Draft report with Records Acting Manager July 2014**
- Awaiting appointment of new Records Manager before implementation

AUDIT YEAR 2014/15

IMPLEMENTATION OF COUNCIL DECISIONS

Examine process used to document and implement decisions of Council and to track and report implementation progress

Q1

KPMG
\$7,250

- Terms of reference prepared and with EMO CE for approval October 2014
- Audit commenced by KPMG Jan 2015
- Audit completed Feb 2015
- **Report tabled RMAC March 2015**

ELECTED MEMBERS' ALLOWANCES AND PAYMENTS

Ensure allowances and professional development payments to Elected Members, and Members' comply with Council policies and ministerial guidelines

Q2

KPMG
\$12,750

- Terms of reference prepared and with EMO CE for approval October 2014
- Audit commenced by KPMG Jan 2015
- Audit completed Feb 2015
- **Report tabled RMAC March 2015**



INTERNAL AUDIT PLAN

INTERNAL AUDIT	TIMING	AUDITOR & ESTIMATED COST \$	COMMENTS
INVESTMENT MANAGEMENT Examine council's investment policy and operational investment management procedures to ensure compliance with legislated responsibilities and that accepted industry practise is adhered to	Q3	DELOITTE	- Terms of reference developed with Manager Finance - Audit ToR has been discussed with Auditor - Audit to commence May 2015
AUDIT YEAR 2015/16			
ELECTRONIC TENDERING PROCESSES Review the performance of the electronic tendering processes, and test the strength of controlling policies, procedures and controls	Q1		
ANNUAL BUDGET DEVELOPMENT and LONG TERM FINANCIAL PLANNING Examine the processes used by Council to develop its annual operational budget, including allocation of dedicated budget lines and justification of budget bids	Q2		
CONTROL SELF ASSESSMENT PROGRAM Examination of processes undertaken in establishing control effectiveness assessments as part of Council's on-line control self-assessment program	Q3	INTERNAL \$0	- Audit deferred from 2014/15 pending implementation of upgraded CSA system which includes aligned and linked risk management component



INTERNAL AUDIT PLAN

INTERNAL AUDIT

TIMING

AUDITOR &
ESTIMATED
COST \$

COMMENTS

AUDIT YEAR 2016/17

Q1

Q2

Q3

**ENCL: RISK MANAGEMENT & AUDIT
NO COMMITTEE/OPEN**

AGENDA ITEM: 9.4

PROGRESS REPORT ON CONTROL SELF ASSESSMENT

REPORT No.: 15A0075 TS:mp

COMMON No.: 1536877

DATE: 29/05/2015

Presenter: Team Coordinator Risk, Audit & Safety, Tony Simons

Approved: General Manager Corporate Services, Diana Leeder

PURPOSE

The purpose of this report is to inform the Risk Management & Audit Committee (RMAC) on the progress of the Control Self-Assessment (CSA) program.

LINK TO STRATEGIC PLAN

The issues addressed in this Report are in accordance with the following Goals/Strategies of the City of Darwin 2012 – 2016 as outlined in the 'Evolving Darwin Towards 2020 Strategic Plan':-

Goal

5 Effective and Responsible Governance

Outcome

5.3 Good governance

Key Strategies

5.3.3 Understand and manage Council's risk exposure

KEY ISSUES

- CSA was implemented in January 2012 following development and adoption of the operational risk assessments and the acceptance of CSA as an internal tool for extending audit capability
- Improvements are currently being made to the software package Council uses for its CSA activity
- The new version of the software will incorporate a front end risk management program which will link risk assessments directly to the CSA tool
- The software provider will be in attendance at the August RMAC meeting to make a presentation to the Committee on the features of the new software

RECOMMENDATIONS

THAT the Committee resolve under delegated authority:-

THAT Report Number 15A0075 TS:mp entitled Progress of Control Self-Assessment, be received and noted.

PAGE: 2
REPORT NUMBER: 15A0075 TS:mp
SUBJECT: PROGRESS REPORT ON CONTROL SELF ASSESSMENT

BACKGROUND

City of Darwin uses CSA as a means to extend its audit coverage to ensure that control monitoring is undertaken regularly for business processes identified on the operational risk assessments as having a high risk. Internal controls are reviewed for control effectiveness annually.

DISCUSSION

The implementation of the new version of 'Control Track' software and its supporting risk management program will further enhance the capabilities of the system by ensuring a direct link between risk assessment data and the CSA process.

The software vendor will be presenting to the August meeting of RMAC to demonstrate system capabilities.

When the new system is implemented, data will be loaded from the existing risk assessments and CSA activity will recommence.

Discussion is currently being held with the software vendor as to the merits of incorporating the results of past CSA's into the data base of the new system.

The Team Coordinator Risk Audit & Safety is of the opinion that this is not a critical issue given that significant changes have been made to the risk assessments during the 2015 review and the alignment of risk assessments with the Municipal Plan. This will necessitate a considerable amount of work to ensure old data and the new risk assessment structure aligns.

The main impact from this will be on the ability to present comparison control effectiveness ratings from past CSA's into future reports, however past scores can be incorporated manually to future CSA reports with little impact on resources.

CONSULTATION PROCESS

Nil

POLICY IMPLICATIONS

Nil

BUDGET AND RESOURCE IMPLICATIONS

Nil – there is no cost associated with the system upgrade.

RISK/LEGAL/LEGISLATIVE IMPLICATIONS

Continue to maintain an effective internal control monitoring and assessment program to meet risk management objectives.

PAGE: 3
REPORT NUMBER: 15A0075 TS:mp
SUBJECT: PROGRESS REPORT ON CONTROL SELF ASSESSMENT

ENVIRONMENTAL IMPLICATIONS

Nil

COUNCIL OFFICER CONFLICT OF INTEREST DECLARATION

We the Author and Approving Officers declare that we do not have a Conflict of Interest in relation to this matter.

TONY SIMONS
TEAM COORDINATOR RISK
AUDIT & SAFETY

DIANA LEEDER
GENERAL MANAGER
CORPORATE SERVICES

For enquiries, please contact Tony Simons on 8930 0573 or email:
t.simons@darwin.nt.gov.au

**ENCL: RISK MANAGEMENT & AUDIT
YES COMMITTEE/OPEN**

AGENDA ITEM: 9.5

EVALUATION OF RISK MANAGEMENT & AUDIT COMMITTEE PERFORMANCE

REPORT No.: 15A0074 TS:mp

COMMON No.: 3021961

DATE: 29/05/2015

Presenter: Team Coordinator Risk, Audit & Safety, Tony Simons

Approved: General Manager Corporate Services, Diana Leeder

PURPOSE

The purpose of this report is to recommend to the Risk Management & Audit Committee (RMAC) the adoption of the amended process for assessing performance of the Committee

LINK TO STRATEGIC PLAN

The issues addressed in this Report are in accordance with the following Goals/Strategies of the City of Darwin 2012 – 2016 as outlined in the 'Evolving Darwin Towards 2020 Strategic Plan':-

Goal

5 Effective and Responsible Governance

Outcome

5.3 Good governance

Key Strategies

5.3.3 Understand and manage Council's risk exposure

KEY ISSUES

- RMAC has previously conducted reviews of its performance and reported outcomes to Council
- Previous evaluations have used an evaluation tool comprising some 50 various questions which were scored by the members of RMAC, the members of the Chief Officers Group and senior officers who regularly interact with RMAC
- The last evaluation was conducted in July 2014 and was of little value given the low response rate from participants

PAGE: 2
 REPORT NUMBER: 15A0074 TS:mp
 SUBJECT: EVALUATION OF RISK MANAGEMENT & AUDIT COMMITTEE PERFORMANCE

RECOMMENDATIONS

THAT the Committee resolve under delegated authority:-

- A. THAT Report Number 15A0074 TS:mp entitled Evaluation of Risk Management & Audit Committee Performance, be received and noted.
- B. THAT the annual Risk Management & Audit Committee evaluation be conducted by the members of Corporate & Economic Development Committee, other Elected Members who represent Council as members of the Risk Management & Audit Committee and the Senior Council Officers who regularly attend Risk Management & Audit Committee meetings using the survey tool **Attachment A**.

BACKGROUND

The Committee has conducted evaluations of its performance in 2012 and 2104.

These evaluations used a questionnaire template adapted from similar templates provided through Deloitte and the Institute of Internal Auditors Australia.

The two previous evaluations were circulated to, and scored by, Elected Members, the members of RMAC, the members of the Chief Officers Group and selected senior officers who regularly interact with RMAC.

The 2012 survey had a 50% response rate from participants.

The survey conducted in 2014 attracted only four responses with a number of surveyed participants responding that they had insufficient knowledge of RMAC workings to be able to meaningfully address the survey questions.

The survey looks at a number of elements of RMAC performance, including :-

- The composition and quality of membership
- RMAC members' understanding of Council business
- Understanding RMAC processes and procedures
- Oversight of financial processes and internal controls
- Oversight of audit activity
- Ethics and compliance

PAGE: 3
 REPORT NUMBER: 15A0074 TS:mp
 SUBJECT: EVALUATION OF RISK MANAGEMENT & AUDIT COMMITTEE PERFORMANCE

The 2012 survey showed that only three of the 50 performance measures returned less than acceptable scores.

- RMAC provides for ongoing education programs to enhance members' knowledge skills base
- New members to RMAC are provided with a comprehensive induction and orientation program to ensure they are fully aware of their roles and responsibilities
- A succession plan is in place for the RMAC chairman and members

Corrective actions for these measures have been implemented, with the exception of succession planning for the chairman of the Committee.

DISCUSSION

It is recommended and accepted practice to undertake evaluations of the performance of internal audit committees.

Elected members need to be assured that the Committee is not only achieving its objectives but is an effective tool in the overall context of Council's governance framework.

If a parallel is drawn with the governance requirements of publicly listed companies, a company's audit committee will report to the board of directors, who in turn are responsible for determining whether audit committees perform to their satisfaction.

Given that the Elected Members are effectively the "board of directors" for Council, it necessarily follows that they should be the ones who evaluate the performance of RMAC in meeting the needs of the Elected Members.

In recognising the low rate of return on previous surveys, and especially the rate of "insufficient knowledge of RMAC workings" responses, it is recommended that the survey audience be contracted to include only those Elected Members who currently serve on RMAC, along with the Chair of RMAC and the senior Council officers who regularly attend RMAC meetings.

The number of questions in the survey has been reduced and the coverage of questions now specifically addresses two key result areas :-

- Performance against the RMAC terms of reference
- Performance against accepted corporate governance elements

The survey will be circulated to the assessment group immediately following ratification by RMAC of the recommended process; and results will be presented to RMAC at its August 2015 meeting.

PAGE: 4
 REPORT NUMBER: 15A0074 TS:mp
 SUBJECT: EVALUATION OF RISK MANAGEMENT & AUDIT COMMITTEE PERFORMANCE

CONSULTATION PROCESS

The proposal to amend the RMAC performance assessment was considered and endorsed by Council's Corporate & Economic Development Standing Committee at its April meeting.

POLICY IMPLICATIONS

Nil

BUDGET AND RESOURCE IMPLICATIONS

Nil

RISK/LEGAL/LEGISLATIVE IMPLICATIONS

Nil

ENVIRONMENTAL IMPLICATIONS

Nil

COUNCIL OFFICER CONFLICT OF INTEREST DECLARATION

We the Author and Approving Officers declare that we do not have a Conflict of Interest in relation to this matter.

TONY SIMONS
TEAM COORDINATOR RISK,
AUDIT & SAFETY

DIANA LEEDER
GENERAL MANAGER
CORPORATE SERVICES

For enquiries, please contact Tony Simons on 8930 0573 or email:
 t.simons@darwin.nt.gov.au.

Attachments:

Attachment A: RMAC Evaluation Questionnaire



CITY OF DARWIN
RISK MANAGEMENT & AUDIT COMMITTEE
2015 PERFORMANCE EVALUATION

Assessment Criteria (circle one for each element)		Insufficient knowledge	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
KEY RESPONSIBILITIES of the COMMITTEE							
1.	The Committee monitors strategic and operational risk management and the adequacy of the internal control policies, practices and procedures established to manage identified risk.	0	1	2	3	4	5
2.	The Committee oversees the internal audit function including development of audit programs with reference to the Council's risk assessment, the conduct of internal audits by appropriately qualified personnel, the monitoring of audit outcomes and the implementation of recommendations.	0	1	2	3	4	5
3.	The Committee reviews the quality of annual financial statements and other public accountability documents (such as annual reports) prior to their adoption by the Council.	0	1	2	3	4	5
4.	The Committee reviews management's responses to external and internal audit recommendations and monitors implementation of the agreed recommendations.	0	1	2	3	4	5
5.	The Committee meets with the external and internal auditors at least once each year to receive direct feedback about any key risk and compliance issues, and to provide feedback about the auditor's performance.	0	1	2	3	4	5
6.	The Committee advises Council about the appointment of external auditors.	0	1	2	3	4	5
7.	The Committee assesses the adequacy of audit scope and coverage.	0	1	2	3	4	5
COMMITTEE GOVERNANCE							
8.	RMAC operates under an approved terms of reference and those terms are reviewed regularly to ensure responsibilities and objectives are adequately described	0	1	2	3	4	5
9.	RMAC members clearly understand their roles and responsibilities as set out in the terms of reference	0	1	2	3	4	5
10.	New members are provided with a comprehensive induction and orientation program to ensure they are fully aware of their roles and responsibilities	0	1	2	3	4	5
11.	The Committee chairman demonstrates effective leadership	0	1	2	3	4	5
12.	RMAC has a scheduled calendar of meetings that ensures sufficient time and resources are available to meet its responsibilities under its charter	0	1	2	3	4	5
13.	The frequency of committee meetings and time allocated for meetings allows the committee to fulfil its duties dealing with significant audit issues effectively	0	1	2	3	4	5
Total		0	1	2	3	4	5

Assessment Criteria (circle one for each element)

	Insufficient knowledge	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
14. Committee agendas, minutes and supporting documentation are circulated in advance of meetings with sufficient time for members to study and comprehend information to be addressed	0	1	2	3	4	5
15. The committee maintains comprehensive minutes of its meetings	0	1	2	3	4	5
16. RMAC findings are reported at Council meetings	0	1	2	3	4	5
17. A register of attendance of committee members is maintained and reported annually to Council	0	1	2	3	4	5
18. Annual performance evaluation is undertaken of the audit committee and results reported to the elected members at Council meetings	0	1	2	3	4	5
19. Members' session fees are approved by Council	0	1	2	3	4	5
20. Members of the committee adhere to independence and conflict of interest requirements	0	1	2	3	4	5

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10. INFORMATION ITEMS

10.1 Review of Outstanding Audit Issues Register Common No. 422690

The Outstanding Audit Issues Register as at 20 May 2015 is **Attachment A**.

CITY OF DARWIN RISK MANAGEMENT & AUDIT COMMITTEE REGISTER OF OUTSTANDING AUDIT ISSUES					EFFECTIVE DATE: 27 MARCH 2015	
OAI NO.	AUDIT NAME & AUDITOR	AUDIT ISSUE & REFERENCE	RESPONSIBLE OFFICER	AGREED COMPLETION DATE	IMPLEMENTATION STATUS	
122	REVIEW OF FRAUD MANAGEMENT ARRANGEMENTS Deloitte August 2011	2.2.5 (1.2.4) Financial services (finance, payroll) procedures require further enhancement and updating. - Updating information based on changes in approval limits or resulting from system upgrades - Noting the dates when the procedure was adopted and last adopted as well is the date of its next review - Updating position titles move with the procedure especially in the case delegated officers were significant approval limits - Identifying and noting the procedure owner - Ensuring each section heading includes the appropriate text/instructions or, if deemed inapplicable is removed from the procedure - Clarifying which position is responsible for the following listed procedures, either by preparing the procedures in the third person or including an overall statement at the beginning of the procedure.	Manager Finance	March 2012 Amended to December 2012 Amended to May 13 Amended to Oct 2013 Amended to May 2014 Amended to July 2014 Amended to October 2014 Amended to October 2015 per RMAC 27032015	ATTACHMENT A See Report in Agenda for June 2012. See Report in Agenda for March 2013. See Report in Agenda for August 2013. New revised recommendations as per March 2014 report See Minutes from item 10.1 May 2014 meeting. See Minutes from item 9.4 August 2014 meeting.	
140	STRATEGIC PERFORMANCE FRAMEWORK BDO December 2013	Reliability of Monitoring & Reporting Processes The Manager Strategy and Outcomes to ensure all KPIs reported in Interplan are supported by accurate and reliable source documentation. This documentation should be retained (either electronically within Interplan or in hard copy) for each Progress Report. These requirements should be clearly documented and communicated to management and staff across the council.	Manager Strategy & Outcomes	March 2014 Amended to June 2014 Amended to 31 December 2014	New revised recommendations as per March 2014 report See Minutes from item 9.6 August 2014 meeting	
		Lack of Linkage within Strategic Performance framework Review the Strategic Performance Framework to ensure only those plans required in the process are included and that each cascades from the previous to ensure linkages. A pragmatic approach should be taken with this review to ensure the plans are relevant and will be applied.	Manager Strategy & Outcomes	June 2014 Amended to 31 December 2014	New revised recommendations as per March 2014 report	
		Lack of Linkage within Strategic Performance framework Include both a City and Council Vision with separate Council strategic goals.	Manager Strategy & Outcomes	June 2014 Amended to 31 December 2014	New revised recommendations as per March 2014 report	
		Lack of Linkage within Strategic Performance framework Gain business ownership in strategic direction. The business needs to be involved in the strategic planning development process as well as its application throughout the year. They should be questioning any operational activities not contributing to the agreed strategic direction. The agreed strategic direction should be reflected in actions and performance assessments, including staff appraisals.	Manager Strategy & Outcomes	June 2014 Amended to 31 December 2014	New revised recommendations as per March 2014 report	
		Inappropriate Key Performance Measures Using the information provided as a result of this Internal Audit project, review the suite of KPIs focussing on what is key, measurable and relevant, as well as including both lead (or real time) and lag indicators.	Manager Strategy & Outcomes	June 2014 Amended to December 2014	New revised recommendations as per March 2014 report	

CITY OF DARWIN RISK MANAGEMENT & AUDIT COMMITTEE REGISTER OF OUTSTANDING AUDIT ISSUES					
EFFECTIVE DATE: 27 MARCH 2015					
OAI NO.	AUDIT NAME & AUDITOR	AUDIT ISSUE & REFERENCE	RESPONSIBLE OFFICER	AGREED COMPLETION DATE	IMPLEMENTATION STATUS
140	STRATEGIC PERFORMANCE FRAMEWORK BDO December 2013	Inefficient Reporting Processes 4.1 Based on business area needs, CoD should develop a standard suite of reporting to be produced from Interplan. 4.2 CoD should also review the process to record and update information in Interplan to improve its efficiency. Revised processes should then be rolled out across the organisation. Business areas should then be encouraged to use Interplan rather than alternative sources.	Manager Strategy & Outcomes	December 2013 Amended to 30 September 2014	New revised recommendations as per March 2014 report
143	ENVIRONMENTAL MANAGEMENT SYSTEM ASSESSMENT DELOITTE August 2014	3.2 Reporting processes against environmental KPIs should be further clarified. a) Update Standard Operating Procedure 010 “Tree Planting Reporting” to include: Frequency of reports against KPIs	Manager Infrastructure Services	December 2014	
		3.3 A formal central register for compliance with environmental legislation should be implemented and maintained. a) Develop a database of relevant federal and NT legislation. b) Database to be reviewed annually and as required when changes to legislation occur	Manager, Climate Change & Environment	December 2014 Amended to July 2015 per RMAC 27032015	
		3.4 Inspections and monitoring regimes should contain explicit reference to environmental issues a) Develop Standard Operating Procedure for site inspections and monitoring b) Develop checklist for inspections	Manager Climate Change & Environment and Manager Infrastructure Capital works	March 2015 Amended to July 2015 per RMAC 27032015	
		3.5 Contractors’ reports should contain explicit reference environmental issues or conditions. a) Develop standard reporting procedures for contractors b) Incorporate reporting procedures into contract documents c) Develop report database d) Reporting procedures to be updated annually and as required by the legislation register listed above	Manager Climate Change & Environment and Manager Contracts and Manager Infrastructure Capital Works	July 2015	
		3.6 Contractors should submit environmental management plans. a) Develop template Environmental management Plan documents b) Incorporate requirements into standard contract documents	Manager Climate Change & Environment and Manager Contracts and Manager Infrastructure Capital Works	July 2015	

CITY OF DARWIN RISK MANAGEMENT & AUDIT COMMITTEE REGISTER OF OUTSTANDING AUDIT ISSUES					EFFECTIVE DATE: 27 MARCH 2015	
OAI NO.	AUDIT NAME & AUDITOR	AUDIT ISSUE & REFERENCE	RESPONSIBLE OFFICER	AGREED COMPLETION DATE	IMPLEMENTATION STATUS	

143	ENVIRONMENTAL MANAGEMENT SYSTEM ASSESSMENT DELOITTE August 2014	3.7 A standard set of environmental conditions based on legislative requirements should be written into contracts or leases. a) Research and develop environmental clauses and conditions b) Incorporate into new leases and contracts c) Incorporate into reviewed leases and contracts	Manager Climate Change & Environment and Manager Contracts	July 2015		
		3.8 Leases and contracts should be regularly reviewed to account for changes in environmental legislation or conditions. a) Compile relevant legislation b) Develop Standard Operating Procedure for review of leases and contracts c) Develop clause for review of all contracts and leases for environmental legislation	Manager Climate Change & Environment and Manager Contracts and Manager Infrastructure Capital Works	July 2015		

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11. GENERAL BUSINESS

11.1 Presentation on Asset Finda Common No. 1713107

12. CLOSURE OF MEETING