



Business Papers

Risk Management & Audit Committee Meeting

**Friday, 7 July 2017
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, 7 July 2017, commencing at 9.00am.

A handwritten signature in black ink, appearing to read 'B P Dowd', is positioned above the printed name.

B P DOWD
CHIEF EXECUTIVE OFFICER

OPEN SECTION

RMAC07/1

Risk Management & Audit Committee Meeting – Friday, 7 July 2017

CITY OF DARWIN

RISK MANAGEMENT & AUDIT COMMITTEE MEETING

FRIDAY, 7 JULY 2017

MEMBERS: Mr Iain Summers (Chair); Member G J Haslett; Member M Palmer; Mr Craig Spencer.

OFFICERS: Chief Executive Officer, Mr Brendan Dowd; General Manager City Performance, Dr Diana Leeder; Team Coordinator Risk Audit & Safety, Mr Tony Simons; Finance Manager, Mr Miles Craighead; Executive Assistant City Performance, Ms Julie Gordon.

Enquiries and/or Apologies: Julie Gordon
E-mail j.gordon@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 Section 32(2)(b), Council delegate to the Risk Management & Audit Committee the powers to make decisions relating to:

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

***** INDEX *****

PAGE

1.	MEETING DECLARED OPEN	5
2.	APOLOGIES AND LEAVE OF ABSENCE	5
3.	ELECTRONIC MEETING ATTENDANCE	5
4.	DECLARATION OF INTEREST OF MEMBERS AND STAFF	5.
5.	CONFIDENTIAL ITEMS	6.

OPEN SECTION

RMAC07/2

Risk Management & Audit Committee Meeting – Friday, 7 July 2017

6.	WITHDRAWAL OF ITEMS FOR DISCUSSION.....	6
7.	CONFIRMATION OF MINUTES PERTAINING TO THE PREVIOUS RISK MANAGEMENT & AUDIT COMMITTEE MEETING	
	• Friday, 31 March 2017	7
8.	BUSINESS ARISING FROM THE MINUTES PERTAINING TO THE PREVIOUS RISK MANAGEMENT & AUDIT COMMITTEE MEETING	
8.1	Business Arising	7
9.	DEPUTATIONS AND BRIEFINGS.....	7
10.	OFFICERS REPORTS	
10.1	Progress of the Internal Audit Plan	8
10.2	Status of Risk Management Framework.....	14
10.3	Asset Management Audit (Provided under Separate Cover)	
10.4	Example Quarterly Performance Report – Municipal Planning.....	86
11.	INFORMATION ITEMS	
11.1	Outstanding Audit Issues Register	136
12.	GENERAL BUSINESS.....	140

OPEN SECTION

RMAC07/3

Risk Management & Audit Committee Meeting – Friday, 7 July 2017

1. MEETING DECLARED OPEN

The Chairman declared the meeting open at _____ a.m.

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

Common No. 2752228

4.1 Declaration of Interest by Members

4.2 Declaration of Interest by Staff

OPEN SECTION

RMAC07/4

Risk Management & Audit Committee Meeting – Friday, 7 July 2017

5. **CONFIDENTIAL ITEMS**

Common No. 1944604

5.1 **Closure to the Public for Confidential Items**

THAT pursuant to Section 65(2) of the Local Government Act and Regulation 8 of the Local Government (Administration) Regulations the meeting be closed to the public to consider the following Items:-

<u>Item</u>	<u>Regulation</u>	<u>Reason</u>
17.1	8(c)(iv)	information that would, if publicly disclosed, be likely to prejudice the interests of the council or some other person

5.2 **Moving Open Items Into Confidential**

THAT pursuant to Section 65(2) of the Local Government Act and Regulation 8 of the Local Government (Administration) Regulations the meeting be closed to the public to consider the following Items:-

<u>Item</u>	<u>Regulation</u>	<u>Reason</u>
-------------	-------------------	---------------

5.3 **Moving Confidential Items Into Open**

THAT pursuant to Section 65(2) of the Local Government Act and Regulation 8 of the Local Government (Administration) Regulations the following Items be moved into Open:-

<u>Item</u>	<u>Regulation</u>	<u>Reason</u>
-------------	-------------------	---------------

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, 7 July 2017 be received and considered individually.

OPEN SECTION

RMAC07/5

Risk Management & Audit Committee Meeting – Friday, 7 July 2017

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, 31 March 2017, 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

9. DEPUTATIONS AND BRIEFINGS

Nil

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

AGENDA ITEM: 10.1

PROGRESS OF THE INTERNAL AUDIT PLAN

REPORT No.: 17A0062 TS:jg

COMMON No.: 1536877

DATE: 07/07/2017

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

Approved: General Manager City Performance, Diana Leeder

PURPOSE

The purpose of this report is to present to the 2017/18 Internal Audit Plan to the Risk Management & Audit Committee (RMAC).

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

- At the Risk Management & Audit Committee (RMAC) meeting held in March 2017 the Chair of RMAC requested that the 2017/18 Internal Audit Plan be presented to the May RMAC meeting.
- The Team Coordinator Risk Audit & Safety circulated the current versions of the Operational Risk Assessments to the Executive Leadership Team (ELT) requesting their counsel on items to be included in the audit plan.
- The draft proposed audit plan was presented to the ELT meeting on 22 May 2017 at which time the plan was endorsed and recommended to be presented to RMAC.
- ELT also determined two additional audits considered for the 2017/18 plan be approved for the 2018/19 internal audit plan; they being a review of internal audit and control self-assessment processes; and contracts management.

PAGE: 2
 REPORT NUMBER: 17A0062 TS:jg
 SUBJECT: PROGRESS OF THE INTERNAL AUDIT PLAN

RECOMMENDATIONS

THAT the Committee resolve under delegated authority:-

- A. THAT Report Number 17A0062 TS:jg entitled Audit Report on Internal Audit Program, be received and noted.
- B. THAT RMAC endorse the 2017/18 Internal Audit Plan.

BACKGROUND

At the Risk Management & Audit Committee meeting held 31 March 2017 the Committee resolved as follows:-

Internal Audit Program

Report No.17A0010 (TS:jg) (31/3/17) Common No 236 3571

THAT the internal audit program for 2017/18 be provided to the May 2017 Risk Management and Audit Committee.

DECISION NO.21\5305 (31/03/17)

DISCUSSION

The content of the internal audit plan is the responsibility of the Executive Leadership Team (ELT) and the Chief Executive Officer (CEO).

The audit plan as presented with this report is the result of consultation and discussion with ELT and the CEO.

RMAC should note that the audit plan may be added to during the year.

The subject audits for 2017/18 are :-

1. Project Management

To provide an assessment of project management practices within Council, focussing on project governance, project management systems, risk assessment methodologies, project development and communications.

It carries an extreme strategic risk rating and a high operational risk rating.

2. Management of Contractor WHS Obligations

To provide an assessment of current Council practices for managing its contractors WHS performance obligations, and provide direction on best practice under NT WHS legislation. This matter was identified during the audit of the WHS Management System and was identified as a high priority action. Council does not currently have a policy and standard for contractor management.

It carries extreme risk ratings both strategically and operationally.

PAGE: 3
 REPORT NUMBER: 17A0062 TS:jg
 SUBJECT: PROGRESS OF THE INTERNAL AUDIT PLAN

3. Tenders and Contract Administration

Review current tender processes to :

- Identify and document dissatisfactions and recommendations for service improvement.
- Recommend ways to address gaps in tendering/contracting practices including skill development, as required.
- Provide recommendations, if any, regarding processes that need to be put in place to address issues of compliance.
- Define the roles and responsibilities throughout the contract lifecycle.
- Provide a roadmap for the introduction of contemporary Best Practice tools and processes for contract administration and management.

This carries an extreme operational risk rating. There is currently no specific section in the Strategic Risk Assessment dealing with tendering other than governance requirements.

4. Leases, Licenses and Permits

To provide an assessment of current practices used for issuing leases, licenses and permits to third parties to conduct activities on Council land and to use Council facilities.

This carries an extreme operational risk rating. There is currently no specific section in the Strategic Risk Assessment dealing with leases, licenses and permits other than governance and public safety requirements.

5. Cash Handling

Review processes and internal controls for cash handling and management of revenue from the Shoal Bay Waste Management Facility.

This carries a high risk. There is also a significant reputation risk associated with this process.

6. Exception Reporting for Procurement

Review controls and processes for exception reporting for competitive procurement. Current processes used to identify non-conformance in non-public tender procurement is resource hungry and does not necessarily lead to behavioural change and compliance with procurement policies.

This carries a high operational risk rating and extreme risk rating around strategic governance practices and reputation risk.

PAGE: 4
 REPORT NUMBER: 17A0062 TS:jg
 SUBJECT: PROGRESS OF THE INTERNAL AUDIT PLAN

The audit plan as approved by ELT, with terms of reference and risk assessments, is attached to this report (**Attachment A**).

CONSULTATION PROCESS

This report was considered by the Executive Leadership Team on 22 May 2017 and is now referred to the Risk Management & Audit Committee for consideration.

POLICY IMPLICATIONS

Nil

BUDGET AND RESOURCE IMPLICATIONS

Nil

RISK/LEGAL/LEGISLATIVE IMPLICATIONS

Understand and manage Council's risk exposure.

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
CITY PERFORMANCE

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

Attachments:

Attachment A: Internal Audit Plan with Risks and Controls Table

AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
PROJECT MANAGEMENT - Project governance, communication processes, project management systems, training, risk assessment, tender assessment processes	Q1 2017/18		- Review and comment on processes used to plan, develop, approve, fund and manage Council projects - test for effectiveness and compliance with specific internal controls - long term budgeting and capital works programs are developed and approved by Council - Officers trained in tender development and assessment - Reviews undertaken with external consultants where necessary - staff trained in project management practises - financial delegations included in Authority - multiple levels of review and approval are applied - project management plans are developed - risk management plans are integrated in project management - community consultation is undertaken in relation to major projects - contractor management plans are developed - programme sign off and payment schedules developed and approved - provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	E	M	H	M
				- Errors or omission in tender specifications and scope of works - Failure to ensure robust project management processes are in place - Failure to ensure project management procedures are documented - staff not trained in project management - Failure to undertake thorough project risk assessment - Failure to identify stakeholders and prepare communications plan - Failure to identify the need for probity audits - Failure to identify the need for, and seek, legal advice to address special conditions of contract and the implications of tenders submitting own terms and conditions - Failure to follow correct procurement procedures - may lead to breaches of the Local Government Act - may lead to legal action against Council - Failure to appropriately manage contractors			
CONTRACTOR WHS OBLIGATIONS MANAGEMENT - Review policies and processes related to contractor management to ensure compliance with WHS legislation and responsibilities	Q1 2017/18		- Review and comment on processes used to engage and manage contractors to ensure compliance with WHS legislation and obligations - Provide guidance in best practise for managing contractors and WHS performance - test for effectiveness and compliance with specific internal controls - contractors fail to provide necessary WHSMS documentation - contractors fail to meet WHS responsibilities - CoD fails to meets WHS responsibilities - Failure to prepare contractor management plans - Failure to undertake contractor inductions - Reputation risk - Negative public comment - Negative media reporting provide comment on the impact of audit recommendations on the residual risk rating identified in the SRA and ORAs as applicable	E	M	H	M
TENDERS AND CONTRACT ADMINISTRATION Identify and document dissatisfactions and recommendations for service improvement. Recommendations to address gaps in tendering/contracting practices including skill development, as required. Provide recommendations, if any, regarding processes that need to be put in place to address issues of compliance. Define the roles and responsibilities throughout the contract lifecycle. Provide a roadmap for the introduction of contemporary Best Practice tools and processes for contract administration and management	Q2 2017/18		Review of procurement and contract administration processes. Investigate opportunities for system improvements, relevance of governing standards relevant, policy coverage, monitoring of performance and inspection regimes, certifications and reporting Examination of procedures and processes throughout the Contract lifecycle including: - Roles and responsibilities; - Standard tender/contract documentation; - Tendering and Evaluations; - Record keeping; - Risk Management; - Work Standards; - Reporting; - Timeliness of contracting services; - Procurement Policy; - Available resources to support contracting requirements; - Compliance with the Local Government Act; - Availability of documentation to guide staff through the contracting process; - Work flows; - Invoice processing; - Financial management; - Contractor compliance; - Contract supervision and management; - Current skill levels of responsible officers			E	M
				- Dedicated officer assigned to Parks Teams to manage the mowing contract and contractor supervision - Other contracts managed within individual teams - Contract Section (Corporate) has key personnel trained in contract management - Contractor performance reviews undertaken - Contractor management standard being developed to comply with WHS requirements and obligations - Site visits undertaken by contract superintendent or super's rep - All contracts required to include SLAs - Contract conditions (particularly scope and service levels) are reviewed and strengthened each time contracts are renewed - City of Darwin has the ability to vary contracts during their lifetime			

AUDIT TITLE & OBJECTIVES		SCHEDULE	TERMS OF REFERENCE	STRATEGIC RISKS		OPERATIONAL RISKS	
LEASES, LICENCES AND PERMITS - Review of processes for issuing licenses and permits to use council premises and facilities. Review compliance monitoring, inspection regimes, reporting and policy coverage	Q3 2017/18		- Review and comment on processes and procedures by which Council issues leases, licenses and permits to undertake activities on Council premises - Review compliance monitoring, inspection regimes, reporting and policy coverage - test for effectiveness and compliance with specific internal controls <u>Permits for Events & Functions</u> - Risk assessments undertaken for major community events - Permit checklist in place that sets out specific terms and conditions of use for specific to individual events and specific to locations - Pre-event site inspection and handover processes in place - checklist in place detailing user responsibilities for events controls ▪ event risk assessment ▪ stakeholder liaison ▪ OHS and public liability issues ▪ Crowd management ▪ Alcohol consumption ▪ Parking & traffic management ▪ Erection of structures on site ▪ Waste and sanitary control ▪ Rubbish and vermin control measures - <u>Post event inspection undertaken and remedial actions identified</u> - <u>Manage Works on Council Land</u> - Contractor performance reviews undertaken - Contractor management standard being developed to comply with WHS requirements and obligations - Daily site visits undertaken by site supervisor (officer who engaged contractor) – includes OHS audit and performance work audit			E	M
				- There is no specific section of the Strategic Plan relating to licenses and permits other than responsible governance processes		Failure to appropriately assess applications for use of Council facilities - Event management fail to adhere to Council policy and guidelines for use of infrastructure & facilities - Public health and safety issues - Inadequate insurance cover - Public perception of events being Council owned and run - Political and reputation risk Failure to appropriately assess applications for permits to use Council property - Users fail to adhere to Council policy, guidelines and by-laws for use of infrastructure & facilities - Public health and safety issues - Consumption of alcohol - Noise management Failure to manage contractors - Actions or inactions of contractors result in damage to environment property or persons - Council is joined in legal action to recover damages - Negative media reporting	

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

AGENDA ITEM: 10.2

STATUS OF THE RISK MANAGEMENT FRAMEWORK

REPORT No.: 17CP0002 TS:jg

COMMON No.: 2363571

DATE: 07/07/2017

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

Approved: General Manager City Performance, Diana Leeder

PURPOSE

The purpose of this report is to inform the Risk Management & Audit Committee (RMAC) on the status of the risk management framework.

LINK TO STRATEGIC PLAN

The issues addressed in this Report are in accordance with the following Goals/Strategies 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

- Operational Risk Assessments (ORAs) have been reviewed and updated to account for changes to the organisational structure that came into effect on 1 July 2017.
- ORAs have been reviewed and updated to ensure that key objectives and business processes align with objectives and outputs set out in the 2017-18 Municipal Plan.
- The new integrated risk management and control self-assessment software has been implemented in a test environment using the new organisational structure.
- Data has been loaded and the risk and CSA components tested.
- Some system anomalies have been identified during testing and the software developer is currently addressing these matters.

PAGE: 2
 REPORT NUMBER: 17CP0002 TS:jg
 SUBJECT: STATUS OF THE RISK MANAGEMENT FRAMEWORK

RECOMMENDATIONS

THAT the Committee resolve under delegated authority:-

- A. THAT Report Number 17CP0002 TS:jg entitled Status of the Risk Management Framework, be received and noted.
- B. THAT a further report on progress of the implementation of the integrated risk and CSA software be presented to the October 2017 Risk Management & Audit Committee meeting.

BACKGROUND

At the Risk Management & Audit Committee Meeting held 31 March 2017, the Committee resolved under delegated authority as follows:

- A. *THAT Report No. 17A0010 TS:jg entitled Risk Management Framework, be received and noted.*
- B. *THAT the internal audit program for 2017/18 be provided to the May 2017 Risk Management and Audit Committee.*
- C. *THAT a report be provided to the May 2018 Risk Management and Audit Committee Meeting on the implementation and status of new mitigations for identified risks, outcomes from CSA process, and the internal audit program.*

DECISION NO. 21/5304 (31/03/2017)

DISCUSSION

Operational Risk Assessments

ORAs have now been updated to reflect the changes in the City of Darwin organisational structure.

ORAs have been reviewed and updated for City Life, City Performance, City Operations and the Office of the CEO. A new ORA has been prepared for the new City Futures department.

ORAs are attached to this report **[see Attachments A, B, C, D and E]**

The key objectives and business processes for all ORAs reflect the objectives and outputs set out in the 2017-18 Municipal Plan and review sessions have been commenced with business unit managers to ensure that the risks and controls set out in ORAs are current and accurate.

Following the completion of these reviews, data will be loaded to the live version of the risk and CSA software program, in preparation of a live run of CSA.

PAGE: 3
 REPORT NUMBER: 17CP0002 TS:jg
 SUBJECT: STATUS OF THE RISK MANAGEMENT FRAMEWORK

Strategic Risk Assessment

The current strategic risk assessment (SRA) aligns to the “Evolving Darwin: Towards 2020” strategic plan.

It is anticipated that the strategic plan will be reviewed following the election of the new Council in August 2017, and it is planned that a risk assessment will be undertaken concurrently.

Under the revised organisational structure, the roles of the Manager Strategies and Outcomes and the Team Coordinator Risk Audit & Safety merge into a new business unit which will afford a better opportunity to align the SRA review with the redevelopment of the Strategic Plan.

The new business unit also affords greater cooperation in the future development of municipal plans, business plans and management of ORAs.

CONSULTATION PROCESS

This report was considered by the Executive Leadership Team on 26 June 2017 and now referred to Risk Management & Audit Committee for consideration.

POLICY IMPLICATIONS

Nil

BUDGET AND RESOURCE IMPLICATIONS

Nil

RISK/LEGAL/LEGISLATIVE IMPLICATIONS

To understand and manage Council’s risk exposure

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.

PAGE: 4
REPORT NUMBER: 17CP0002 TS:jg
SUBJECT: STATUS OF THE RISK MANAGEMENT FRAMEWORK

TONY SIMONS
TEAM COORDINATOR, RISK
AUDIT & SAFETY

DIANA LEEDER
GENERAL MANAGER
CITY PERFORMANCE

For enquiries, please contact Tony Simons on 89300597 or email:
t.simons@darwin.nt.gov.au.

Attachments:

Attachment A: City Life ORA
Attachment B: City Performance ORA
Attachment C: City Operations ORA
Attachment D: Office of CEO ORA
Attachment E: City Futures ORA

ATTACHMENT A

LIBRARY SERVICES.....	2
LIBRARY SERVICES.....	3
LEISURE & CUSTOMER EXPERIENCE – CUSTOMER SERVICES	4
LEISURE & CUSTOMER EXPERIENCE – RECREATION & LEISURE.....	5
LEISURE & CUSTOMER EXPERIENCE – MAJOR COMMUNITY EVENTS	6
VIBRANT COMMUNITIES – YOUTH SERVICES.....	7
VIBRANT COMMUNITIES – ARTS & CULTURAL DEVELOPMENT	7
VIBRANT COMMUNITIES – COMMUNITY DEVELOPMENT	8
VIBRANT COMMUNITIES – COMMUNITY ENGAGEMENT	9
VIBRANT COMMUNITIES – FAMILY & CHILDREN’S SERVICES	9
VIBRANT COMMUNITIES – FAMILY & CHILDREN’S SERVICES (COMMUNITY CENTRES)	10
VIBRANT COMMUNITIES - DARWIN SAFER CITY PROGRAM	11
REGULATORY SERVICES – COMMUNITY EDUCATION	12
REGULATORY SERVICES – GENERAL BY-LAW COMPLIANCE.....	12
REGULATORY SERVICES – MANAGE ABANDONED VEHICLES.....	13
REGULATORY SERVICES – ANIMAL POUND MANAGEMENT	13
REGULATORY SERVICES – ANIMAL MANAGEMENT	14
REGULATORY SERVICES – ADMINISTRATION PROCEDURES	15

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			AR	INTERNAL CONTROL (and control improvements)			L	C	RR	TREATMENT PLAN		RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														
LIBRARY SERVICES														
MANAGE THE CITY AND SUBURBAN LIBRARIES - City, Casuarina, Karama & Nightcliff - Building maintenance and upgrade planning - Budget and funding - Accessibility - Public safety - Fire drills - Fire protection and PA systems - Occupational health & safety - Mobility impaired access - Karama and Nightcliff properties are private properties leased by NTG on behalf of City of Darwin - Civic Centre and Casuarina owned by City of Darwin	1. Failure to engage with the community as to the nature and location of services provided - User dissatisfaction - Down turn in patronage - Reputation risk	2	3	M	- Council undertakes and annual Customer Satisfaction survey - Feedback on provision of customer services is measured against KPIs developed for Library Services and through annual ratepayer and customer satisfaction surveys	1	3	L	ORA identified good controls in place MONITOR THROUGH COMMUNITY SURVEY & PUBLIC FEEDBACK PROCESSES	Manager Libraries				
	2. Failure to install and maintain fire protection systems to applicable Australian Standards and the Building Code - Failure to undertaken regular fire drills - Staff and public safety is compromised	2	4	H	- Council has a service contract for inspection and testing of fire safety equipment - Monthly inspections undertaken of fire systems - Six-monthly inspections of portable extinguishers - Emergency procedures manual developed for Civic Centre and all suburban libraries - Fire drills conducted regularly - Fire drill processes documented - Fire wardens appointed and trained for all libraries - First aiders trained and appointed for all libraries - Defibrillators installed at all libraries - Business continuity plans developed Dec 2011 and revised Dec 2014	1	4	M	ORA identified good controls in place MANAGE THROUGH FIRE SYSTEMS INSPECTION PROCESS and WHS INSPECTIONS	Manager Libraries and TC Risk Audit & Safety				
	3. Failure to manage general public safety issues - Injury to patrons - Compensation claims - Negative media comment	2	3	M	- OHS inspections undertaken annually and reported to TC Risk Audit and Safety - Outcomes from OHS inspections logged and rectification actions implemented - OHS and PL incident reporting and recording procedures documented - Regular inspections of fire systems are undertaken by contracted service provider 6 monthly inspection of portable fire extinguishers are undertaken by contracted service provider - Emergency procedures manual developed for Civic Centre and all suburban libraries - Emergency Management Plan requires development of special procedures for persons with disabilities - Dedicated OHS and risk assessments are undertaken for major events - Major event require OHS Policy to be lodged by third parties - Major events require third parties to provide PL insurance - Fire wardens appointed and trained for all libraries - First aiders trained and appointed for all libraries - Defibrillators installed at all libraries	1	3	L	ORA identified good controls in place MANAGE THROUGH OHS INSPECTION PROCESS					
	4. Access and egress does not comply with applicable standards for mobility impaired patrons - Penalties imposed under legislation - User complaints - Political and reputation risk	2	3	M	- Council is required to meet the conditions imposed by NT Disability Services Act and the Federal Disability Discrimination Act - Casuarina Library recently upgraded to comply with DDA - Civic Centre and others comply to the extent of the age of the building and ability to implement rectification action	1	2	L	ORA identified good controls in place MANAGE THROUGH OHS INSPECTION PROCESS	Manager Libraries				
	5. Lack of forward planning for building maintenance - Failure to ensure adequate capital budget allocation - Facilities become run down and sub standard - User dissatisfaction	2	3	M	- Library Services prepares budget bids for major capital works - Building maintenance programs developed by Infrastructure Services Department with consultation and input from Library Services - Urgent minor works managed internally through CARS - Business continuity plans developed Dec 2011 and revised Dec 2014	1	3	L	ORA identified good controls in place MANAGE THROUGH BUILDING INSPECTION PROCESSES BUSINESS CONTINUITY PLANS BEING REVISED 2015-16					

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and control improvements)			TREATMENT PLAN			RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
LIBRARY SERVICES											
MANAGE AND MAINTAIN LIBRARY COLLECTIONS - collection themes - collection management	6. Inadequate policies defining the nature of literary and other material to be held in libraries - perception of inappropriate material - failure to provide consistent services across all library locations - user dissatisfaction with nature and scope of material - failure to regularly review collections and discard out of date or unwanted material	2	3	M	- Library Collection Management Policy documented and implemented - Library Membership Policy (Council By-laws) - Lost and Damaged Property Procedures	1	3	L	ORA identified good controls in place MONITOR THROUGH COMMUNITY SURVEY & PUBLIC FEEDBACK PROCESSES	Manager Libraries	
	PROVIDE ACCESS TO INFORMATION IN A VARIETY OF FORMATS (INCLUDING DIGITAL) - provision of community (mobile library) services - Lending & reference services - Delivery of books to the mobility impaired - Internet access facilities	7. Failure of key systems (ICT) - Public internet access fails - Importing of viruses - Malicious damage - User dissatisfaction	3	3	H	- Public PCs are on a separate dedicated virtual server - Separate and dedicated firewall protection systems in place - Business continuity plans developed Dec 2011 and revised Dec 2014	2	2	M	MONITOR THROUGH COMMUNITY SURVEY & PUBLIC FEEDBACK PROCESSES	Manager Libraries
PROVIDE SERVICES AND PROGRAMS THAT SATISFY THE RECREATIONAL AND LEARNING NEEDS OF THE COMMUNITY - educational and recreation programs for children youth and families - Visiting authors - Seniors Month - Library information week - Adult Learners week - Story times for schools and crèches - Youth book clubs	8. Inadequate policy defining the type of material to be held in libraries - perception of inappropriate material - failure to provide consistent services across all library locations - user dissatisfaction with nature and scope of material	2	3	M	- Library Collection Management Policy documented and implemented - Library Membership Policy (Council By-laws) - Lost and Damaged Property Procedures	1	2	L	ORA identified good controls in place MONITOR THROUGH COMMUNITY SURVEY & PUBLIC FEEDBACK PROCESSES	Manager Libraries	
	MANAGE LIBRARY STAFF - Qualified librarians - Library technicians - Library assistants - Working with children (Ochre Card)	9. Inability to recruit and retain qualified staff - Failure to meet defined standards of service - staff required to have working with children clearances - Inability to manage short and long term vacancies - Additional shifts undertaken by other staff - tasks not attended to in a timely manner	3	3	H	- COD salaries benchmarked by independent HR firm - Flexible and attractive conditions of employment – additional leave, district allowances, assistance with relocation costs - temporary staff recruited through employment agency - ability to engage former library staff on casual employment - Ochre Card requirement is set in Job Descriptions - Business continuity plans developed Dec 2011 and revised Dec 2014	2	2	L	ORA identified strong in place MONITOR THROUGH COMMUNITY SURVEY & PUBLIC FEEDBACK PROCESSES BUSINESS CONTINUITY PLANS BEING REVISED NOV 2013	Manager Libraries
LIBRARIES CASH MANAGEMENT	10. Failure to develop and monitor appropriate controls and procedures to receive and reconcile funds received from Council's Libraries - Misappropriation of monies - Reputation risk	3	2	M	- Daily every library till is rung off and a 'z total' reading printed from the till and stored with the collections in a secure location - Weekly a 'z2 total' reading is printed from each till and reconciled with the stored collections - The operator completes a 'Statement of Library Receipts' form and forwards this with the z2 total reading and collections to Customer Services for receipting - Only Casuarina library bank their collections directly into the City of Darwin bank account - Customer Services attaches the receipt generated from AUTHORITY to the reports and returns the documentation to the library - Library takings are stored in a secure location until banking day (cash is banked weekly). Only authorised officers have access to the banking - Cash handling procedures developed by Manager Finance October 2013 - Control self-assessment in place	1	2	L	ORA identified strong internal controls including CSA program CSA CSA PROGRAM REVIEWED 6/2013 TO ENSURE ALL HIGH END RISKS ARE CAPTURED AND AGAIN 11/2013 FOR IMPLEMENTATION OF CSA SYSTEM UPGRADE	Manager Business Services	

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and control improvements)				TREATMENT PLAN		RO	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
LEISURE & CUSTOMER EXPERIENCE – CUSTOMER SERVICES													
PROVIDE CUSTOMER SERVICE AT THE CITY OF DARWIN CIVIC CENTRE - First point of contact for general public - Investigate, research and following-up complaints - Issue and control of permits including parks/ovals/foreshores, community centres, Gardens Amphitheatre, miscellaneous equipment and general permits - Issue and control of advertising banners - Management of car parking hot line	11. Failure to ensure staff are trained appropriately in customer service delivery - Poor staff moral and motivation - Reduced levels of customer service - Ratepayer and customer dissatisfaction - Reputation Risk	2	3	M	- Council has comprehensive human resources policies and procedures providing inductions, on going training and annual staff appraisals - Quality of service and complaint level managed through annual customer and ratepayer satisfaction survey - Feedback and complaints management process in place	1	2	L	- ongoing management undertaken through induction program and annual EDP - monitor through results of customer service surveys	Team Leader Customer Services			
PROVIDE SERVICES FOR THE RECEIPTING OF COUNCIL PAYMENTS - Property rates, Animal registrations, parking and infringement, permits, banner sites, Council Facilities, accounts receivable - Daily reconciliation of cash collection	12. Failure to develop and monitor appropriate controls and procedures for cash handling - Inability to monitor and control cash collection - Potential Fraud/loss of revenue - Reputation risk	2	3	M	- Policies and procedures provide for segregation of duties, internal controls and review by Supervisor and finance. - Audited annually by eternal auditors - Control self-assessment in place	1	2	L	CSA				Team Leader Customer Services
PETTY CASH MANAGEMENT - Levels of authorisation and delegation - Allowable items for claims - Authorisation from Managers - reconciliations	13. Failure to develop and monitor appropriate controls and procedures for petty cash management - Fraudulent claims - misappropriation - Reputation risk	2	3	M	- Policies and procedures provide for segregation of duties, requirement for presentation of third party tax invoice and review by Supervisor and Financial Services - Access to Petty Cash is restricted to authorised officers - For claims for reimbursement a ‘Petty Cash Voucher’ must be completed and authorised by an officer with delegated authority as per the City of Darwin financial delegations - The person receiving the cash must also sign the voucher - Appropriate supporting documentation must be supplied in the form of a tax invoice or receipt if GST is not applicable - The Petty Cash float is reconciled and reimbursed at least once a week - The reconciliation is approved by the Senior Customer Services Officer, then checked by the Management Accountant, Financial Accountant or Finance Manager and countersigned before being paid - Control self-assessment in place	1	2	L					
PROVIDE SERVICES TO FACILITATE HIRE OF COUNCIL FACILITIES (Amphitheatre events, Greek Glenti, Territory Day fireworks, Arafura Games, Circus visits, beer can regatta, Darwin Festival, India at Mindil, Aust Day Fun Run, Million Paws Walk, Derby Day, Seabreeze Festival, Relay for Life) - liaison with event promoter - site inspection and handover - City of Darwin permits checklist prepared - insurance requirements met - public safety management plans - traffic & parking management plans - alcohol management plan & permits - food handling - waste management - site clean-up and repatriation	14. Failure to appropriately assess applications for use of Council facilities - Event management fail to adhere to Council policy and guidelines for use of infrastructure & facilities - Public health and safety issues - Inadequate insurance cover - Public perception of events being Council owned and run - Political and reputation risk	3	5	E	- Risk assessments undertaken for major community events - Pre-event site inspection and handover processes in place - checklist in place detailing user responsibilities for events controls - event risk assessment - stakeholder liaison - OHS and public liability issues - Crowd management - Alcohol consumption - Parking & traffic management - Erection of structures on site - Waste and sanitary control - Rubbish and vermin control measures - Post event inspection undertaken and remedial actions identified	2	4	L	CSA		Team Leader Customer Services		
ISSUE STANDARD PERMITS FOR USE OF COUNCIL PROPERTY Weddings, parties, social functions	15. Failure to appropriately assess applications for permits to use Council property - Users fail to adhere to Council policy, guidelines and by-laws for use of infrastructure & facilities - Public health and safety issues - Consumption of alcohol - Noise management	3	4	E	Permit checklist in place that sets out specific terms and conditions of use for specific to individual events and specific to locations	2	3	M	CSA			Team Leader Customer Services	

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and control improvements)				TREATMENT PLAN		RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												
LEISURE & CUSTOMER EXPERIENCE – RECREATION & LEISURE												
OVERSEE MANAGEMENT OF COUNCIL’S SWIMMING POOLS - Nightcliff, Parap, Casuarina - All three pools are managed by a single contracted service provider	16. Lack of rigorous oversight of swimming pool contractor’s activities and outputs - Deficiencies in tender process - Contractor’s management responsibilities not clearly defined - compromised quality of service provision to the public - compromised amenity of very significant Council assets - diminished income via pool attendance decrease - compromised public safety - negative media coverage	2	4	H	- robust tender assessment processes are in place to ensure the section of the most suitably qualified contractor - service level agreements included in all contracts - maintenance responsibilities included in all contracts - safety standards and legislative compliance requirements for safety and risk management are clearly set out in contract - penalty clauses for non-compliance included in all contracts - scope of works and service levels are reviewed each time contracts are reviewed and renewed - regular meetings with contractor and site inspections - Monthly reporting of income and attendance figures which are logged for comparison to ensure significant changes are identified immediately - Regular site inspections with Building Supervisor - Emergency plans to be updated yearly - Regular audits undertaken by NT Surf Life Saving - Control self-assessment in place	2	3	M	CSA	Manager Liveability		
	MANAGEMENT OF COUNCIL’S SPORTING & RECREATION FACILITIES - Support and guidance to local sporting and recreational groups - Ovals and reserves - Playgrounds - Liaison with sporting management bodies - Liaison with sports clubs - infrastructure project management	17. Lack of robust sporting parks and ovals management plans - Failure to engage with user sporting clubs and groups - Failure to manage oval seasonal hire and one off bookings - Failure to manage recreational activities on Council facilities - Ensure organisations comply with facilities and support assessment criteria - Perceptions of inequitable treatment of sporting groups - poor management of ovals and infrastructure - decreased use of ovals - compromised public safety - compromised reputation of Council’s commitment to open space community facilities - compromised quality of significant Council asset - diminished income - negative media coverage - compromised Council reputation	2	3	M	- comprehensive oval management plans developed - use of facilities policies and application for use of facilities are posted on Council’s internet site - robust assessment criteria applied to ensure facilities and support are provided equitably - robust inspection and reporting processes undertaken by Infrastructure Maintenance Turf Management Team - parks safety checklists completed every two months - mower operators undertake inspections and report issues - Recreation Officer monitors customer feedback - regular consultation undertaken to ensure positive relationships with user groups - Supply maintenance request forms provided to user groups so issues can be reported and remedied as soon as practical - Maintain good relationship with Parks team to determine maintenance - Control self-assessment in place	1	2	L	CSA	Manager Liveability	
18. Failure to engage with the sporting and recreational representative groups as to the nature and location of services provided - User dissatisfaction - Down turn in patronage - Reputation risk		2	3	M	- Performance is measured against KPIs developed for the Municipal Plan and through annual ratepayer and customer satisfaction surveys	1	3	L	CSA			
19. Deficiencies in project management practices - inadequate/inappropriate public consultation - poor public perception - negative media coverage - compromised partnerships (government and community orgs) - poor quality infrastructure outcomes - significant costs to remedy poor quality		2	3	M	- requirements to undertake project risk assessment included in City of Darwin Risk Management Standard - collaboration with relevant Council Departments - engagement with external expertise as required - regular internal and external stakeholder meetings - review and evaluate project status (progress against milestones) - Control self-assessment in place	1	2	L	CSA			
DEVELOP AND DELIVER COMMUNITY WELLBEING AND RECREATION PROGRAMS City of Darwin Community Wellbeing Plan		20. Delivery of Healthy Lifestyle programs constrained by finite funding and resources - Inability to provide services as demanded or expected - Negative public and media reaction	3	2	M							
	21. Failure to engage with the community as to the nature and location of recreational services & facilities - User dissatisfaction - Down turn in patronage - Reputation risk	3	2	M	- Performance is measured against KPIs developed for the Municipal Plan and through annual ratepayer and customer satisfaction surveys							

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and control improvements)		TREATMENT PLAN				RO			
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER															
LEISURE & CUSTOMER EXPERIENCE – MAJOR COMMUNITY EVENTS															
DELIVER AN ANNUAL COMMUNITY EVENTS PROGRAM (Bombing of Darwin, Freedom of Entry, Australia Day Citizenship, Santa in the Mall, Darwin Show, Garden Spectacular, Santa in the Mall, Activate, Big Gig, Garden Spectacular, Big Gig, Youth Awareness Week, Seniors Week, Homeless Connect) - provision of infrastructure & facilities - liaison with stakeholders - pre-event site inspection - COD event management checklist - Communication with residents - Insurance coverage - Public & workplace safety issues - public safety management - crowd control - traffic & parking management - alcohol management - no smoking policy - publicity & promotion - engagement with contracted goods & services suppliers - media management - site clean-up and repatriation	22. Failure to prepare robust event management plans, including consultation with, and input from, all stakeholders - Failure to liaise with stakeholders (public & private) - Inadequate risk management plans - Inadequate emergency management plans - Deficiencies in public liability management - Deficiencies in traffic management and parking control plans - Poor coordination of public transport services - Inadequate crowd management planning - Inadequate noise control - Failure to address and manage public safety issues - Inadequate alcohol consumption & smoke free planning - Failure to liaise with affected residents - Poor media management protocols					2	4	H	- Council has a dedicated resource located within Community Services to coordinate and oversee event management - All Council managed events are run using a standard event management procedure which includes : - pre-site inspection & preparation works - event risk assessment - communications strategies - media management - stakeholder liaison - OHS and public liability issues - Crowd management - Alcohol consumption - Engagement of volunteers - Parking & traffic management - Waste and sanitary equipment - Provision of first aid and medical assistance - Post event inspection and remediation works - Council maintains public liability and facility user insurance		1	4	M	- manage through public feedback and event incident reporting	Community Events Officer
	23. Council association with event, provision of financial support and in-kind services is perceived as being inappropriate - Ratepayer and stakeholder perception of bias - Ratepayer perception of wasted \$\$\$ - Political and reputation risk - Negative media reporting					3	3	H	- All requests for sponsorship and in-kind services are controlled by OCE and reviewed and approved by Council - Sponsorship policy reviewed and endorsed by Council in September 2012.		1	3	L	- manage through public feedback and event incident reporting	Community Events Officer
PROVIDE SUPPORT TO COMMUNITY ORGANISATIONS TO DELIVER COMMUNITY BASED EVENTS (Territory Day fireworks, Darwin Festival, Greek Glenti, Derby Day, Sea Breeze Festival) - liaison with event promoter - site inspection and handover - COD permits checklist prepared - insurance requirements met - public safety management plans - traffic & parking management plans - alcohol management plan & permits - food handling - waste management - site clean-up and repatriation	24. Event management groups fail to adhere to Council policy and guidelines for use of infrastructure & facilities - Public health and safety issues - Inadequate insurance cover - Public perception of events being Council owned and run - Political and reputation risk					3	5	E	- Risk assessments undertaken for major events (Fireworks at Mindil,) - Pre-event site inspection and handover processes in place - Permit checklist in place detailing user responsibilities for provision of control mechanisms - event risk assessment - stakeholder liaison - OHS and public liability issues - Crowd management - Alcohol consumption - Parking & traffic management - Erection of structures on site - Waste and sanitary control - Rubbish and vermin control measures - Post event inspection undertaken and remedial actions identified		2	3	M	- manage through public feedback and event incident reporting	Community Events Officer
	25. Provision of in kind services is perceived as being inappropriate - Ratepayer perception of wasted \$\$\$ - Political and reputation risk - Negative media reporting					3	2	M	All requests for sponsorship and in-kind services are controlled by OCE and reviewed and approved by Community and Cultural Services' Committee		1	2	L	- manage through public feedback and event incident reporting	Community Events Officer
PROVISION OF "IN KIND" SUPPORT FOR SMALLER EVENTS AND PROGRAMS - Grant funding - Provision of infrastructure or facilities - Street sweeping and cleaning - Hanging of promotional banners - Garden and lawn maintenance - Rubbish removal	26. Duplication of services and double dipping for funding as this process also falls under Grants Management - Financial implications - Political and reputation risk - Negative media reporting					3	2	M	Provision of grants; sponsorship or in kind support is reviewed and approved by Council's Community and Cultural Services' Committee to avoid duplication of services		1	1	L	- manage through community & cultural services committee & ELT reporting	Community Events Officer

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)		L	C	AR	INTERNAL CONTROL (and control improvements)			L	C	RR	TREATMENT PLAN	RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														
VIBRANT COMMUNITIES – YOUTH SERVICES														
PROVIDE YOUTH SERVICES AND EDUCATION PROGRAMS AND YOUTH PARTICIPATION ACTIVITIES WITHIN THE DARWIN COMMUNITY - Youth Strategy 2016 – 2021 - Support and deliver community events for youth - Coordinate Youth Advisory Committee - Deliver LAUNCH recreation & leisure program	27. Delivery of Youth Strategy constrained by finite funding and resources - Inability to provide services as demanded or expected - Negative public and media reaction	3	3	H	- Annual placement of young person in traineeship position - Youth events are supported by additional volunteers, partnerships and staff resources - External funding and partnerships identified where appropriate - All media interaction is managed through Council’s media policy and approved by the GM - Community and Government partnerships are sought for all major projects	2	2	M	IMPLEMENT YOUTH STRATEGY (has been approved by Council)	Manager Community Development				
	28. Recruitment & retention of skilled & qualified staff - Inability to provide services as demanded or expected - Negative public and media reaction	3	3	H	- City of Darwin salaries benchmarked against similar local government bodies across Australia - Flexible and attractive conditions of employment – additional leave, district allowances, assistance with relocation costs - Market allowance applied to salary package where warranted training and professional supervision programs in place for staff - Additional skill development training offered eg face painting - First Aid training freely available to staff - Partnership with education providers being investigated	2	2	M	ORA identified that good proactive management systems are in place by the risk is beyond the control of council to a large degree					
	29. Failure to adequately plan and resource projects	2	3	M	- project management plans implemented through Interplan - project risk assessment processes in place - Regular progress meeting s scheduled during projects for monitoring and intervention as required - Monthly reports to Council - Weekly updates to General Manager - Monthly Youth Advisory Group meetings - Risk management plans are prepared for each event	1	2	L	monitor through community survey & public feedback					
	30. Facilitation of youth access to Council is dependent on the provision of accessible youth space	2	3	M	- Dedicated Youth Space and shared Community Services project space is provided Council - Area is equipped with relevant resources attractive to young people - Corporate Induction program includes training on creating a welcoming environment for youth - Strong networks with arts and non-government sector to refer young people if required	1	2	L	monitor through community survey & public feedback					
VIBRANT COMMUNITIES – ARTS & CULTURAL DEVELOPMENT														
SUPPORT QUALITY ART PROGRAMS AND ENCOURAGE PARTICIPATION - City of Darwin Arts Plan 2015-2020 - promote public art and cultural development - implement and manage the Public Art Pilot Plan - support professional development of artists	31. Failure to adequately manage public perception of controversial projects - Negative public reaction - Negative media reporting - Potential for lost funding opportunities	2	3	M	- Community consultation held prior to controversial projects being undertaken. - Information re Council projects placed in local media and Council website so that community has access to explanation and information regarding projects. - Advisory Committees in place to provide advice on specific issues eg, arts, youth, disability etc	1	3	L	monitor through community survey & public feedback	Manager Community Development				
	32.									-				

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and control improvements)			TREATMENT PLAN			RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
VIBRANT COMMUNITIES – COMMUNITY DEVELOPMENT											
MANAGE AND DELIVER COUNCIL’S COMMUNITY SERVICES PROGRAMS - Community Access Plan 2012 – 2017 - Community Grants Program - Deliver services for seniors and people with disabilities - Coordinate the Access & Inclusion Advisory Committee	33. Failure to adequately engage with the community in the delivery of diversity programs eg: neighbour day, harmony day, sister cities activities	2	3	M	- Regular communication undertaken between Council staff and community organisations to ensure that marginalised population groups are invited included and informed of Council’s community activities - Council staff outreach to various organizations when required to ensure engagement of particular groups - Information re community programs/events placed in local media and Council website - Regular planning meetings between Council staff and community organisations are held for event planning. - Frequent and collaborative events are scheduled to ensure partnership approach to responding to special population groups	1	3	L	- monitor through community survey & public feedback	Manager Community Development	
	34. Failure to adequately plan and project manage Community events - Failure to locate skilled and cost efficient security staff, first aid services and appropriately trained low cost service providers for community events - Failure to adequately manage profile of corporate events such as Homeless Connect that may generate negative media public comment	2	3	M	- Thorough event planning undertaken with consultation with all stakeholders informs Council staff decisions regarding event management. - Council’s Risk and OH&S Advisor is consulted prior to Council’s major events. - Continual liaison with community members, representatives from community organisations, members of Council’s advisory committees and other staff members informs Council staff regarding suitable local service providers for events. - Careful wording and design of promotional material for Council events minimises misunderstandings due to unclear/insufficient information being provided. - Media releases are distributed only through Council’s Communications and Marketing section to minimise error and confusion.	1	2	L	- monitor through community survey & public feedback and consider adding to csa program	Manager Community Development	
IN-KIND SUPPORT AND SPONSORSHIP OUTSIDE OF COUNCIL’S COMMUNITY GRANTS PROGRAM - In-kind support, e.g. fee waivers, provided to arts and community organisations for one-off events - Sponsorship of major arts and cultural events, such as the Darwin Festival, Sculpture in the Park, Darwin Fringe and Nightcliff Seabreeze Festival - Sponsorship of arts organisations, such as the Darwin City Brass Band	35. Limited resources available to service increasing community demands for funding and in-kind support - Failure to ensure equitable allocation of funding and support - community perception/dissatisfaction with Council support	2	3	M	- Maintenance of In-kind register to ensure equity of access - External funding and partnership opportunities identified to increase ability to provide in-kind support - Equipment/agreements and funding obligations is checked and monitored with each allocation to ensure compliance and state of equipment on return.	2	3	M	- manage through public feedback and event incident reporting	Manager Community Development	
	36. Provision of in kind services is perceived as being inappropriate - Ratepayer perception of wasted \$\$\$ - Political and reputation risk - Negative media reporting	3	2	M	- All requests for sponsorship and in-kind services are controlled by OCE and reviewed and approved by Community and Cultural Services’ Committee	1	2	L	- manage through public feedback and event incident reporting	Manager Community Development	
	37. Duplication of services and double dipping through support provided by Events Management - Financial implications - Political and reputation risk - Negative media reporting	3	2	M	- Provision of grants, sponsorship or in kind support is reviewed and approved by Council’s Community and Cultural Services’ Committee to avoid duplication of services	1	1	L	- manage through community & cultural services committee & ELT reporting		

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			L	C	AR	INTERNAL CONTROL (and control improvements)			L	C	RR	TREATMENT PLAN		RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER																
VIBRANT COMMUNITIES – COMMUNITY ENGAGEMENT																
DEVELOP, AND COORDINATE THE DELIVERY A WHOLE OF COUNCIL COMMUNITY ENGAGEMENT PROGRAM - identifying internal and external communication needs and the development of a communication strategy - Stakeholder identification - Stakeholder understanding of Council role versus expectations of service delivery - Management of formal community forums to address issues impacting on specific groups of residents - Management of stakeholder feedback	38. Failure of Council to understand customer and stakeholder needs and expectations - Failure to identify and engage customers and stakeholders on a regular and consistent basis - Customer feedback mechanisms not in place - Lack of marketing of facilities (e.g. online or publication) - Services not aligned to residents needs	3	3	H	- Council requires that community consultation be undertaken and reported in each Council report on major community related initiatives a Community Consultation policy has been endorsed and adopted by Council	2	3	M								
	39.				-											
	40.					-										
VIBRANT COMMUNITIES – FAMILY & CHILDREN’S SERVICES																
DELIVER CHILDREN’S SERVICES PROGRAMS - Children’s Week - Fun Bus - Fun in the Parks - Civic visits for school groups - Engagement of community volunteers - provision of recreation and games equipment for community use	41. Limited qualified resources available to support family program objectives and administrative processes - Staffing allocation is at times insufficient for number of attendees - Failure of program to fully engage with urban Indigenous community (as per FASA)	2	3	M	- Weekly monitoring of attendance levels - Appropriate training and professional development - Build partnerships with community based Indigenous services - Continue to lobby NTG for additional resources. - Budget bid may be sought for additional staffing during Dry season - Exploration of partnerships with Children’s Services education providers	2	3	M	- monitor through community survey & public feedback						Manager Community Development	
	42. Failure to ensure compliance with WHS legislation for volunteers - inappropriate persons recruited - Child protection - Police checks - Election of committee representatives - reputation risk	2	4	H	- Volunteer program exploration underway - Working With Children Checks monitored by HR and FCSC - Volunteers are interviewed by Council staff prior to their services being requested and police checked, referee checks completed and CV obtained - Police checks are compulsory - Referees are also sourced with other organizations with the same checking procedures eg. Indigenous Volunteers Organization, Volunteering NT/SA - Training for Council staff working with volunteers may be required - Control self-assessment in place	1	3	L								
	43. Failure to ensure play and recreational equipment is maintained in “fit for use” condition - Accidents or injuries - Insurance claims - Negative media and public comment	3	3	H	- Equipment is inspected regularly - Risk assessment conducted for major equipment - Clients accept own risk when using equipment as events	2	2	M								

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			AR	INTERNAL CONTROL (and control improvements)			L	C	RR	TREATMENT PLAN		RO	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER															
VIBRANT COMMUNITIES – FAMILY & CHILDREN’S SERVICES (COMMUNITY CENTRES)															
MANAGE TENANCIES FOR COMMUNITY CENTRES - Childcare centres - Community centres - Community spaces (community gardens)	44. Failure to ensure that community infrastructure is managed by a formal lease agreement that provides for intended use and conditions of occupancy and insurance cover - Failure ensure insurance issues are addresses by lessees - Failure to undertake condition of use inspections - Potential for council property to be used for purposes other than was intended	2	3	M	- Review and risk assessment in progress - Six monthly inspections of the building is carried out with FCSC and Building Services Officer - Legal advice sought as required - Facility leases monitored by Council’s Contracts Department. - budget bids for quality improvements submitted annually - Grant funding sought regularly - Control self-assessment in place	1	2	L	CSA						
	45. Failure to ensure compliance with City of Darwin Long Term Lease policy - Failure to ensure that properties are covered by formal lease agreements - Failure to specify terms and conditions of use - Adequacy of Insurance and indemnity provided by lessees - Management and maintenance obligations not clearly defined - Health and safety responsibilities not clearly defined	2	4	H	- Annual Public Liability insurance verification undertaken by Community Recreation Officer (CRO) - Annual property inspection undertaken by CRO - Annual verification of lease agreement undertaken by CRO - Property inspections undertaken by Building Manager - Responsibility for maintenance by lessee is facilitated by CRO - Annual report to Council on material non-compliance undertaken by CRO	1	3	L	CSA						
	46. Failure to ensure relevant stakeholders are consulted with by Council for planning and provision of community facilities - Potential for council property to be used for purposes other than was intended - Community perception of council supporting inappropriate activities - Community perception that centres are Council run when Council acts as landlord only	2	3	M	- Council has undertaken a full assets audit of its centre’s infrastructure - Asset management plan developed taking into account licence-related maintenance needs - Information on Council’s role provided on its external website - Complaints received by Council are referred to the Centres’ Management Committee and/or the licensing authority	1	3	L	-	monitor through community survey & public feedback				Manager Community Development	
	47. Failure to undertake regular safety inspections - Potential for public safety issues - Preventable Public Liability claims - Reputation risk	2	4	H	- Council’s Programmed Maintenance is designed to ensure the Centre maintenance needs and licensing requirements within Council’s responsibility are met with regards to the building. - The lease agreements require tenants to at all times maintain public liability insurance to the value of ten million dollars (\$10,000,000). - Well-established system is in place for tenants to advise Council’s Building Services Department if any repairs or problems with buildings occur.	1	4	M	-	manage through 6 monthly ohs inspection process					
	48. Inability or failure to respond to changes in regulatory requirements - Breaches of legislation - Fines - Reputation risk - public and media reaction	2	3	M	- FCSC convenes a quarterly network meeting for Child Care Centre Directors to encourage and facilitate capacity and to keep abreast of regulatory issues and changes. - Regular updates from Licensing Unit are received and well-established communication systems for information sharing.	1	2	L	-						
49. Community Centre governance and management committees are voluntary - Lack of continuity with management structures - Capacity of lessees to project manage identified capital works programs - Failure to adequately maintain community infrastructure - ageing buildings identified as Council facilities - reputational and operational risk	3	3	H	- The Council has no control over management structure or business decisions made within the child care centres - FCSC attends Child Care Centre’s Management Committee meetings to explain the role of Council with regards to the sponsorship of the Centre’s, when required - Council roles and responsibilities published on the Council website - Childcare services review in progress to examine risks for Council	2	3	M	-	await outcomes of childcare services review						

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and control improvements)			TREATMENT PLAN			RO		
LEGEND :		L = LIKELIHOOD	C = CONSEQUENCE	AR = ABSOLUTE RISK	RR = RESIDUAL RISK	RO = RISK OWNER	L	C	AR	L	C	RR	
VIBRANT COMMUNITIES - DARWIN SAFER CITY PROGRAM													
SAFER CITY PROGRAM - The municipality requires an evidence based policy framework to address alcohol and community safety impacts across the community and all government spheres via the construct of a Safer City Plan. - Develop policies and procedures that guide implementation of the DSCP	50. Absence of policy direction to guide all stakeholders and spheres of government Failure to engage at all levels of government to lead the construct of an evidence based policy framework for the NT	3	3	H	-	The program is jointly supported by by NTG, COD and Police	1	2	L	-	Currently raising issues at Northern Australian Capital City Committee and NT Chief Minister	Manager Public Intoxication Program	
	51. Specialised skill set required for Community Safety service establishment - Inability to attract and retain skilled staff. - Inability to deliver all elements of pilot project - compromised level of community satisfaction with service and support diminished take up rates of service by client group - risk to low levels of outcomes in the absence of project staff	3	3	H	-	Recruitment via specialist agencies & web sites Core competencies described within Position Description Intensive training provided and monitored	2	2	M				
	52. Failure of community to buy into program - Limited stakeholder buy in and engagement to time limited support service - Community perceptions of what Council is doing about alcohol	3	3	H	-	Concentrated and planned engagement activities with individual retailers and businesses undertaken One on one consultation with businesses/retailers. Marketing collateral and community information booklet developed and distributed.	2	2	M				
	53. Homelessness rate and seasonal influx of visitors - Inability to establish relationships with clients - Service delivery continuum is compromised				-					THIS IS BEYOND THE CONTROL OF COUNCIL			
	54. Complex behavioural issues in-field - workplace health and safety risks to staff - inability to meet complex WHS issues - staff injury (physical or psychological or both) - inability to retain staff - media and reputational risks	4	3	E	-	Worker safety checklist developed to guide staff in day to day operations Staff directed to not engage in risky dialogue or service delivery activities Staff directed to not place individuals or self at risk at any time and remove self or colleagues from area as priority. Regular training and skill building provided on individual basis dependant on worker skill sets and knowledge. Practice supervision and debriefing provided weekly and post incident Incident reporting procedures in place and known by staff including root cause, analysis and corrective actions.	2	3	M				
UNDERTAKE ADVOCACY TO REDUCE IMPACTS OF PUBLIC INTOXICATION	55. Entrenched local culture of alcohol use - Escalation of pre fuelling issues - Political risk – alignment of objectives and needs of government, businesses, the community and AHA - Unfavourable media reaction to program proposals	4	3	E	-	Advocate with NTG for clear policy and reduction of time bands for alcohol delivery Darwin Safe Partnership established to impact on supply of alcohol within the CBD entertainment precinct Support community education programs Partner with Vinnies and Larrakia Nation to promote the “Caring for Country” and “Clean Up Mob”	2	3	M	Develop a program of “Good News” stories to be circulated through the community	Manager Public Intoxication Program		

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)		L	C	AR	INTERNAL CONTROL (and control improvements)		L	C	RR	TREATMENT PLAN		RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														
REGULATORY SERVICES – COMMUNITY EDUCATION														
CONDUCT COMMUNITY EDUCATION IN RELATION TO BY-LAWS AND ENFORCEMENT ACTIVITIES	56. Ratepayers and the public do not understand Council's role in the development and enforcement of rules and by-laws - Failure to ensure appropriate and accurate information is available to ratepayers and public - Appropriate regulatory and prohibition signage on display - Potential for physical or verbal abuse of staff - Negative public reaction - Negative media coverage	3	3	H	- Web site is used for promotion of Council and rangers' roles and responsibilities - Council has developed and publicly promotes its long term parking strategy - Proposed changes to parking regulations and temporary restrictions are advertised in the public notices section of the paper - Feedback from ratepayer satisfaction survey used to identify areas for service improvement - Media releases are issued to advise the public that officers will concentrating on particular areas for infringements of bylaws	2	3	M						
REGULATORY SERVICES – GENERAL BY-LAW COMPLIANCE														
MANAGE COMPLIANCE WITH CITY OF DARWIN GENERAL BY-LAWS ▪ on and off-street parking regulations ▪ Illegal camping ▪ Consumption of alcohol ▪ Use of public facilities and public places	57. Lack of suitably qualified staff available to provide services - Inability to provide services within nominated response timeframes - Public dissatisfaction - Escalation of complaint - Negative media comment	3	3	H	- Council Rangers are rostered on via a call out phone system to attend dog attack incidents and roaming animals outside normal operating hours - Call out system selects one available ranger – if not contactable system moves to next person on the list - Business continuity plans developed 12/2011	1	3	L						
	58. Lack of or insufficient training in conflict resolution - Potential for physical or verbal abuse of staff	3	3	H	- All staff are provided with Conflict Resolution training from an accredited training institution - Program of verbal conflict resolution is being developed in conjunction with NT Police – to be implemented 2015/16 FY - Cultural awareness training is undertaken through and accredited external provider - Psychometric testing undertaken for all new regulatory services staff	2	3	M						
	59. Lack of or insufficient training in cultural awareness - Potential for physical or verbal abuse of staff	3	3	H	- All staff are provided with Conflict Resolution training from an accredited training institution - Program of verbal conflict resolution is being developed in conjunction with NT Police – to be implemented 2015/16 FY - Cultural awareness training is undertaken through and accredited external provider - Psychometric testing undertaken for all new regulatory services staff	2	3	M						
	60. Lack of guiding policies and procedures for infringement processing - Infringements do not comply with by laws - Infringements issued inappropriately - Inappropriate access to infringement equipment	2	3	M										
	61. Failure to ensure comprehensive and accurate investigation notes are taken and filed correctly - Inability to retrieve records - Investigations and prosecutions compromised	2	3	M	- External training in investigatory processes undertaken through ICETS (Investigation Compliance and Enforcement Training Systems) - Internal procedures and KPIs documented - Officers notes reviewed by supervisors before enforcement procedures commence - Procedures for enforcement are documented in accordance with legislation and by-laws - Control self-assessment in place	1	2	L						

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and control improvements)		TREATMENT PLAN		RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER										
REGULATORY SERVICES – MANAGE ABANDONED VEHICLES										
MANAGE ABANDONED VEHICLES - Abandoned vehicles on Council controlled roads - Notice issued - Vehicle towed to City of Darwin compound - Vehicle disposed of at Auction	62. Ratepayers and the public do not understand Council's role in the development & implementation of rules and by-laws - Failure to remove abandoned vehicles within timeframes - Vehicles disposed of inappropriately - Negative public reaction - Negative media coverage	2	2	M	- Documented procedures have been developed in accordance with Australian Road Rules - Council only deals with abandoned vehicles on Council property - Stolen vehicles are the responsibility of NT Police - Vehicle kept in compound for 1 month before disposal - Registered owners identified through MVR and Public Notice is published in NT News advising of forthcoming disposal of vehicles - Contractual agreement is in place with external party to undertake REVs checks and process disposals through auction house	1	2	L		Manager Regulatory Services
	63. Failure to protect third party property while impounded - Vehicles vandalised and damaged - Property stolen - Owner disgruntlement - Insurance costs - Negative media reporting	3	3	H	- Vehicles are secured in the Operations Centre compound which is locked out of hours - Compound is monitored by Operations Centre staff during working hours - Security lighting is installed at impoundment area - CCTV cameras intalled - Insurance claims management processes in place	2	3	M		
REGULATORY SERVICES – ANIMAL POUND MANAGEMENT										
MANAGE COUNCIL'S ANIMAL POUND - Maintain the pound facilities - Return of Dogs or Cats to owners - Re-Home animals thru PAWS program - Euthanize unwanted or dangerous animals	64. Failure to ensure pound facilities are maintained to standards and capacity is available to meet demand - Failure to meet public expectations - Neglect or mistreatment of animals in care - Negative public reaction - Negative media coverage	3	3	H	- Documented procedures have been developed for management of the animal pound - conditions for management of the animal pound are set out in Council By-laws - Robust communication channels in place to ensure animal owners are aware of Council's roles and owners responsibilities in relation to animal management - Information relating to Council's and the public's role in animal ownership and management is posted on the Council website - Information relating to the operations of the Animal Pound is posted on the Council website - owners are provided with fact sheets regarding responsibilities when they register animals - roles and responsibilities – especially with regards to infrastructure management and safety issues – have been documented - internal procedures developed for management of animals on transition in and out of the pound - Pound operations promoted through COD website - Business continuity plans being developed Dec 2013	2	3	M		Manager Regulatory Services
	65. Failure to manage pound employee and public safety issues - Negative public reaction - Negative media coverage	2	4	H	- OHS inspection undertaken Sept 2013 – improvement issues implemented by Regulatory Services - OHS policies, standards and procedures applicable to the pound operations prepared and provided to staff Sept 2013 - OHS induction for pound staff conducted Oct 2013 - OHS signage installed Oct 2013 - internal procedures developed for management of animals on transition in and out of the pound - Business continuity plans being developed Dec 2013	2	3	M		
	66. Lack of training in animal behaviour and animal management - Inappropriate handling methods used - Serious injury to worker	2	4	H	- Advanced 5 day training techniques and animal behaviour training provided for all new staff and is undertaken by accredited external consultants - Annual refresher training undertaken - OHS communication strategies in place to inform employees of their responsibilities for their own personal safety	1	4	M		

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and control improvements)		TREATMENT PLAN				RO		
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														
REGULATORY SERVICES – ANIMAL MANAGEMENT														
ANIMAL MANAGEMENT BY-LAW COMPLIANCE - Compliance with Animal Management By-Laws - Council Rangers investigate all complaints relating to Animal Management By-Laws. - Dog attack Person or Animal - Dog at large and dog cause nuisance - nuisance Barking Complaints - Dog and cat register - Annual renewals - New animal registrations - Multiple dog ownership issues	67. Failure to ensure animal complaints are addressed within timeframes - Public dissatisfaction - Escalation of complaint - Negative media comment				3	3	H	- Ratepayer feedback survey used to monitor quality of performance against published KPIs - Complaint management processes are and contained in the COD Animal Management Plan and published on the COD website - City of Darwin has robust procedures in place for complaint management which are available for public viewing and include response times and KPIs - Information relating to Council's complaint management procedures is posted on the Council website	2	3	M			Manager Regulatory Services
	68. Failure to effectively manage animal registration processes - Unregistered animals - Revenue impacts				2	2	M	- Registrations processed on common date - Registration information provided via internet and in pamphlets	1	2	L			
COMMUNITY EDUCATION - Responsible ownership - By-laws and responsibilities	69. Ratepayers and the public do not understand Council's role in the development and enforcement of rules and by-laws				3	3	H	- Animal Education Officer appointed to assist with education programs and animal training initiatives - Animal ownership and awareness information available from the Council website and through information pamphlets	2	3	M			
	70. Lack of training in animal behaviour and animal management - Inappropriate handling methods used - Serious injury to worker				2	4	H	- Advanced 5 day training techniques and animal behaviour training provided for all new staff and is undertaken by accredited external consultants - Annual refresher training undertaken - OHS communication strategies in place to inform employees of their responsibilities for their own personal safety	1	4	M			
AFTER HOURS EMERGENCY CALL-OUT														

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and control improvements)			L	C	RR	TREATMENT PLAN		RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
REGULATORY SERVICES – ADMINISTRATION PROCEDURES													
DATA MANAGEMENT - Infringements on Authority system – daily processing, update and maintenance - Animal module on Authority system – daily processing, update and maintenance of cats and dogs - Entry and maintenance of Loading Zone Permits on access database - Entry and maintenance of Disabled Persons Parking Permits on access database - Entry and maintenance of lost dogs and cats on access database system. - Daily processing of Australia Post receipting	71. Failure to ensure timely and accurate entry of data into the Authority system - Potential for loss of data - Inability to retrieve data	2	3	M	- Internal procedures drafted which include timeframes for processing of data collected during investigations - EDRMS file structure designed to ensure ease of retrieval of information - Separate hard copies kept of investigatory records - Control self-assessment in place - Business continuity plans developed 12/2011	1	2	L	CSA			Manager Regulatory Services	
RECORDS MANAGEMENT - Process outgoing correspondence in relation to Infringements, General By-Law offences, Cats and Dogs, Litter and NT Traffic Regulations in Council's EDRMS system. - Process other outgoing correspondence of a Regulatory nature in Council's EDRMS system. - Create Customer Action Requests for complaints received in relation to Parking Offences, General By-Law Offences and Animals in Council's EDRMS System.	72. Failure to ensure all records are captured in EDRMS - Inability to retrieve records - Investigations and prosecutions compromised	2	3	M	- Internal procedures drafted which include timeframes for processing of data collected during investigations - EDRMS file structure designed to ensure ease of retrieval of information - Separate hard copies kept of investigatory records - Control self-assessment in place - Business continuity plans developed 12/2011	1	2	L	CSA			Manager Regulatory Services	
PROCESSING INFRINGEMENT NOTICES - Daily processing of infringements - Download and check infringements from handheld devices - Process incoming and outgoing correspondence in relation to all infringements - Process Courtesy Letters - Process download of infringements to Fines Recovery Unit - Maintenance of infringements eg change of offender, cancellation of fault infringements - Processing of payments from Fines Recovery Unit - Processing of infringements to and from Motor Vehicle Registry - Attend to incoming telephone calls from the public regarding the issue/dispute of infringements	73. Lack of documented processes for assessment of disputed infringements - Unauthorised waiving or cancellation of infringements - Potential for fraud - Potential for physical or verbal abuse of staff - Negative public reaction - Negative media coverage	2	3	M	- Internal procedures drafted which include timeframes for processing of data collected during investigations - EDRMS file structure designed to ensure ease of retrieval of information - Separate hard copies kept of investigatory records - Disputed infringements managed separately from complaints handling - Control self-assessment in place - Business continuity plans developed 12/2011	1	2	L	CSA			Manager Regulatory Services	
PROVIDE A COMMUNICATIONS AND INFORMATION SERVICE FOR CUSTOMER ENQUIRIES AND COMPLAINT HANDLING - enquiries from internal and external customers - Create CARRS and monitor the timely response to CARRS - Process street permit applications - Maintain Council's communication equipment and cameras	74. 2-way communications system failure - Inability to communicate with and coordinate workforce and service delivery - Mismanagement of resources	2	3	M	- Dedicated communications officer employed - Back-up staff available as several Regulatory Services staff are familiar with use of communications equipment - Alternate communication methods available through mobile telephones - Back up communication may be available through Operations Centre communications system	1	2	L				Manager Regulatory Services	

ATTACHMENT B

RISK AUDIT & SAFETY – RISK MANAGEMENT FRAMEWORK	2
RISK AUDIT & SAFETY – EMERGENCY MANAGEMENT	2
RISK AUDIT & SAFETY – INTERNAL AUDIT & CONTROL SELF-ASSESSMENT	3
RISK AUDIT & SAFETY – WORKPLACE HEALTH & SAFETY	4
RISK AUDIT & SAFETY – BUSINESS CONTINUITY	4
STRATEGY & OUTCOMES – CORPORATE PLANNING & PERFORMANCE	5
STRATEGY & OUTCOMES – CORPORATE PLANNING & PERFORMANCE	6
GRANTS & AWARDS	7
PEOPLE, CULTURE & CAPABILITY – STRATEGY AND TRAINING	8
PEOPLE, CULTURE & CAPABILITY – EMPLOYMENT PROCESSES	9
PEOPLE, CULTURE & CAPABILITY – BUILDING ACCESS	10
PEOPLE, CULTURE & CAPABILITY – WORKERS COMP AND PUBLIC LIABILITY CLAIMS	10
INFORMATION TECHNOLOGY	11
INFORMATION TECHNOLOGY	12
INFORMATION TECHNOLOGY	13
RECORDS MANAGEMENT - SYSTEMS & STRUCTURE	14
RECORDS MANAGEMENT – FREEDOM OF INFORMATION	15
RECORDS MANAGEMENT – SWITCHBOARD MANAGEMENT	15
FINANCIAL SERVICES – FINANCIAL PLANNING & BUDGET	16
FINANCIAL SERVICES – LEGISLATION, POLICY & PROCEDURES	17
FINANCIAL SERVICES – INSURANCE	17
FINANCIAL SERVICES – MANAGEMENT ACCOUNTING (Budget and Reporting)	18
FINANCIAL SERVICES – MANAGEMENT ACCOUNTING (Investments)	18
FINANCIAL SERVICES – REVENUE (Revenue)	19
FINANCIAL SERVICES – REVENUE (Debtors)	20
FINANCIAL SERVICES – REVENUE (Leases & Licensing)	20
FINANCIAL SERVICES - CONTRACT ADMINISTRATION	21
FINANCIAL SERVICES – PAYABLES ACCOUNTING (Accounts Payable)	22
FINANCIAL SERVICES – PAYABLES ACCOUNTING (Accounts Payable)	23
FINANCIAL SERVICES – PAYABLES ACCOUNTING (Taxation)	24
FINANCIAL SERVICES – PAYABLES ACCOUNTING (Payroll)	25
FINANCIAL SERVICES – ASSET ACCOUNTING	26

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)				INTERNAL CONTROL				AUDIT OR CSA	TREATMENT PLANS (and control improvements)	RISK OWNER
	L	C	AR		L	C					
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											

RISK AUDIT & SAFETY – RISK MANAGEMENT FRAMEWORK											
DEVELOP, IMPLEMENT, & MAINTAIN A RISK MANAGEMENT FRAMEWORK AT STRATEGIC AND OPERATIONAL LEVELS - Risk management policy and standards developed and promoted - Policy and standards reviewed and approved by ELT - Risk assessments undertaken annually at the strategic level - operational risk and control assessments are embedded within business documentation - risk management programs developed to target critical operations - Procedures in place to address a review of operational risk on an ongoing basis - Structured reporting and monitoring program developed	1. Failure to embed a risk management culture within the organisation - Lack of understanding of risk management principles, particularly with regards to strategic, operational and project based risk assessments - Failure to ensure risk is owned at all levels of the organisation - Failure to ensure standardised risk management principles and practises are applied - Inefficient, ineffective and inconsistent approach to risk management practises	3	4	E	- City of Darwin has a dedicated risk manager (TC Risk Audit & Safety) to promote risk management awareness - RM 101 education program provided to all staff involved in ORA and SRA development - RM Policy and Standards developed and are based on ISO31000 Standard and are approved by ELT - Strategic and operational risk assessments have been developed and are reviewed annually in conjunction with the Municipal Plan - Dedicated web-site developed as a central point of information for staff on the risk management framework - RMAC reviews risk assessments annually - Programs in place to undertake risk assessments for all project based activity - RM requirements embedded in procurement and project management standards - Control self-assessment in place - Business continuity plans developed Jan 2012 - Audit of framework undertaken against ISO31000 – business managers noted ORA provides guidance and clarity and prompted managers to increasingly consider risk and controls in their environment	2	3	M	CSA	- Risk assessments are reviewed annually and presented to RMAC for endorsement - Development of the risk management framework was completed October 2010 and has subsequently been revised annually - Risk program management will be ongoing and will take into account changes to AR and RR arising from internal audits and CSA program.	TEAM COORDINATOR RISK, AUDIT & SAFETY
	2. Failure to develop, implement and manage policies and standards relating to risk management activity - Compliance with ISO 31000 - Inefficient, ineffective and inconsistent approach to risk management practises - Failure to ensure risk is owned at all levels of the organisation - Failure to implement risk management and reporting programs - Inability to manage and implement recommendations for process and control improvement	3	3	H	- City of Darwin has developed RM Policy and Standards based on ISO31000 Standard - Policy approved by Council and Standard approved by ELT July 2013 - Risk management lexicon approved as part of RM Standard - Policies and standards are promoted by ELT and business managers - Dedicated web-site has been developed as a central point of information for risk management - Control self-assessment in place	1	3	L	CSA	-	
	3. Failure to review operational risk assessments regularly - Risk assessments not aligned to Municipal Plans - Failure to identify and address control gaps and improvements - Failure to identify potential changes to internal audit and control self-assessment programs	3	3	H	- Operational risk assessment is linked to directly annual business planning and business objectives through the municipal plan - Review undertaken October 2014 and 2016 ensures alignment of business process in the ORA to programs and outputs as set out in the municipal plan - ORAs updated annually and also following outcomes of internal audits and control self-assessments - Reporting on strategic and operational risk is monitored by ELT and Risk Management & Audit Committee - Control self-assessment in place - Audit of the risk management framework was undertaken in December 2012 – no major risk omissions noted	1	3	L	CSA	- Ongoing reporting will be to the Audit Committee - Operational risk assessments to be reviewed annually as part of business planning - Risk program management will be ongoing and will take into account changes to AR and RR arising from internal audits and CSA program.	
	RISK AUDIT & SAFETY – EMERGENCY MANAGEMENT										
DEVELOP & MAINTAIN EMERGENCY RESPONSE PLANS - Fire - Bomb threat - Aggressive intruder - Emergency control group - Emergency control organisation	4. Failure to ensure compliance with Australian Standards for management of emergencies - Emergency control group not established - ECG members not trained in key roles - Emergency plans not developed and maintained	2	5	E	- Emergency management procedures approved for Civic Centre and Operations Centre in September and December 2011 and reviewed 2013 and 2016 - Emergency Control Organisations formed for both locations - ECO members trained September 2011 and refresher 2013 , 2015 and 2017 - Emergency evacuation plans prepared and displayed in multiple locations - Emergency procedures located on City of Darwin Risk Management website - Emergency procedures testing undertaken annually	1	4	M	CSA	- Emergency procedures for Operations Centre being revised by WHS Officer - evacuation testing undertaken annually - due June 2017	TEAM COORDINATOR RISK, AUDIT & SAFETY

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL		TREATMENT PLANS (and control improvements)		RISK OWNER		
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
RISK AUDIT & SAFETY – INTERNAL AUDIT & CONTROL SELF-ASSESSMENT											
ESTABLISH AND MAINTAIN AN EFFECTIVE INTERNAL AUDIT CAPACITY - Audit policy and standards - Audit standards issued by Professional Body - Formal audit program - Regular and ongoing monitoring and reporting of risk and control - Address ad-hoc issues at the request of the CEO, Audit Committee, or the ELT	5. Failure to maintain adequate internal audit capacity - City of Darwin does not currently maintain dedicated internal audit resources - Insufficient funding for external contractor	2	3	M	- Comprehensive plans cover two forward years are developed and approved by the RMAC - Audits managed through external consulting firms - Audit plan and requisite capacity continually reviewed as part of operational risk assessment processes - City of Darwin has fully independent Risk Management & Audit Management Committee who oversee audit and CSA programs - RMAC manages Outstanding Audit Issues register to monitor progress of implementation of audit and CSA recommendations - Control self-assessment in place	1	2	L	RMAC		TEAM COORDINATOR RISK, AUDIT & SAFETY
	6. Failure to effective plan internal audit activity - Audit planning is not linked to operational objectives and risk assessment - gaps or deficiencies in the audit plan - Failure to meet audit program objectives and timeframes - Budget hour's not allocated correctly - Scope and cost creep not addressed - failure to address operational risk assessment outcomes - Excess cost incurred for external contractors	2	3	M	- Audit plan is directly linked to results of strategic and operational risk assessments - Audit plan is prepared by Risk OHS Advisor - Audit Plan is reviewed and approved by ELT and Audit Committee - Audit program is monitored by ELT and Audit Committee with formal reporting arrangements - Auditors are required to specifically address risks identified in City of Darwin operational and strategic risk assessments when undertaking audit assignments - Internal audit programs and outcomes are reported in the Annual Report - Control self-assessment in place	1	2	L			
	7. Audit staff fail to adhere to professional standards - City of Darwin policy and standards - IIAA / CPA / RMIA standards	2	3	M	- City of Darwin ensures the use of qualified consulting staff through the terms and conditions of its engagement agreement	1	2	L			
	8. Failure to ensure CSA program and supporting software systems continue to meet demands of City of Darwin - Data base of risks and controls not maintained - Assessors and reviewers data base not maintained - Linkages between risk and control not correctly assigned				- CSA data base is maintained by TC Risk Audit and Safety - Technical advice available through system owner as part of the software license agreement - Defect and issues management resolution timeframes in place - Control self-assessment in place						
DEVELOP, IMPLEMENT AND MANAGE CONTROL SELF ASSESSMENT PROGRAMS - CSA policy and standards - CSA reporting processes - Standards for working papers - CSA training program - Internal Audit assessment of CSA processes	9. Managers fail to embrace CSA as a legitimate risk management tool - CSA process not effectively implemented - CSA non-compliance not addressed at an operational level - Lack of, or deficiency in CSA reporting to Audit Committee to satisfy internal audit program requirements	3	3	H	- use of CSA is mandated by ELT - CSA has been in place for some time and is an accepted practise by existing managerial staff - TC Risk Audit & Safety Advisor conducts detailed CSA training program - ELT and Audit Committee review outcomes from CSA - Internal audit reviews quality of CSA program and outcomes and feedback used for continuous improvement - Upgraded version of CSA program implemented October 2013with increased reporting capability and increased internal system management capability - Control self-assessment in place	1	2	L	AUDIT 15/16	- Risk management software component of CSA system to be implemented concurrently - CSA program to be re-developed following loading of new risk and control data to the CSA system	
	10. Business unit managers fail to adhere to CSA policy and procedures - CSA undertaken sporadically rather than as an ongoing monitoring process - CSA testing of sample data performed inadequately - Inadequate working papers to support CSA outcomes	3	3	H	- CSA has been in place for some time and is an accepted practise by existing managerial staff - Upgraded version of CSA program implemented October 2014 with increased reporting capability and increased internal system management capability - Internal audit reviews quality of CSA program - Control self-assessment in place	1	2	L			

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			L	C	AR	INTERNAL CONTROL			L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)		RISK OWNER	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER																		
RISK AUDIT & SAFETY – WORKPLACE HEALTH & SAFETY																		
IMPLEMENT & MANAGE WORKPLACE HEALTH & SAFETY MANAGEMENT SYSTEMS - OHS culture - OHS Management System - OHS induction and training - Audits and inspections program - OHS Committee - reporting framework - Incident reporting forms - Incident recording data base - OHS Committee - Third party liaison (contractors)	11. Failure to embed a WHS awareness culture across the organisation - Staff not provided with OHS induction - Failure to undertake regular audits and inspections and address known hot spots - Failure to provide ongoing work specific OHS training - Failure to capture quality OHS statistics and reporting processes - Higher than warranted injury and accident rates - Insurance premium increases - Reputation risk				3	5	E	- City of Darwin employs dedicated WHS Management staff - WHS Management system developed including policies, standards & safe operating procedures - WHS risk assessment developed and reviewed annually - WHS specific website established on the intranet with all OHSMS documentation, reports and WHS committee information - WHS Duties and Obligations Standard in place for all employees - WHS responsibilities included in position descriptions - WHS training is part of employee induction - Role specific training provided at the worksite - JSEA undertaken at all worksites - Certificates and licenses are required to perform designated works - WHS audit and inspection program in place - WHS incident data base developed and used for tracking problem areas - ELT and OHS Committee expectations of OHS audits and reporting - WHS outcomes reported in the Annual Report - Control self-assessment in place - WHS Committee established and operates under ELT approved terms of reference - Review and audit of OHS MS undertaken by professional auditors in 2012 and again 2016 and no risk or legal omissions noted				2	4	H	CSA	- Continue with development of the library of Safe Operating Procedures - Continue with development of SWMS - Refresher training for Fire Wardens done 2015		TEAM COORDINATOR RISK, AUDIT & SAFETY
	12. Failure to ensure that contractors and third parties operating within Council environs are aware of and manage their WHS responsibilities - Failure to ensure contractor staff are provided with OHS induction - Contractors fail to provide OHS management plans - Higher than warranted injury and accident rates - Insurance premium increases - Reputation risk				3	5	E	- WHS Officer manages contractors - External parties provided with OHS induction - Major third party operators have discrete OHS policies and systems - City of Darwin and major operators exchange OHS Policies - Certificates are required to perform designated works - Licenses required to operate designated plant and equipment				2	5	E	AUDIT 2017-18	- Risk & WHS Officer will have carriage of contractor induction programs - Audit to be undertaken by accredited SIA auditor - contractor management standard being developed to manage contractors compliance with OHSMS requirements and to put in place contractor supervision, audit and induction processes		
	13. Failure to record and report OHS incidents and non-conformances - Failure to follow up on implementation of identified corrective measures - Repeat occurrences of safety issues - Unnecessary injuries and accidents - Reputation risk				2	4	H	- City of Darwin has engaged dedicated WHS Manager - WHS Management System developed - WHS Committee convened – Terms of Reference being drafted - WHS is a standing agenda item for ELT - Operational staff maintain good WHS culture - incident tracking data base which is managed by Risk & OHS Advisor and reported to the OHS Committee and ELT - Control self-assessment in place				1	4	M	CSA			
RISK AUDIT & SAFETY – BUSINESS CONTINUITY																		
DEVELOP & MAINTAIN BUSINESS CONTINUITY MANAGEMENT SYSTEMS and BC PLANS - Cyclone - Earthquake - Fire - Pandemic - Disruption to electricity - Major IT interruption - Critical worksite safety issue	14. Failure to ensure robust BCP planning processes that involves all of Council and its affected stakeholders - BCP fails to address potential business interruption scenarios - BCP fails to address stakeholder needs				3	4	E	- New version of BCM operating system implemented October 2014 - BC plans developed in accordance Australian and international standards - External consultant and software package engaged to develop BCPs - Externally hosted website used for storage and maintenance of BCPs - Control self-assessment in place				1	4	M	CSA			TEAM COORDINATOR RISK, AUDIT & SAFETY
	15. Failure to regularly test and revise BCPs - Complacency of staff relating to emergency situations - Failure of key points of control in BCPs - Potential for injuries and loss of life - Unnecessary damage to infrastructure - Reputation risk				3	4	E	- BCPs tested March 2012 - New version of BCM operating system implemented October 2014 - Control self-assessment in place				1	4	M	CSA			

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL			L	C	AR	TREATMENT PLANS (and control improvements)			RISK OWNER
	L	C	AR	L	C	AR	L	C	AR	AUDIT OR CSA			
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													

STRATEGY & OUTCOMES – CORPORATE PLANNING & PERFORMANCE													
DEVELOP AND IMPLEMENT COUNCIL'S PLANNING AND PERFORMANCE MANAGEMENT FRAMEWORK INCLUDING THE DEVELOPMENT OF STRATEGIC AND MUNICIPAL PLANS - Strategic goals, outcomes and strategies - Alignment of departmental plans and initiatives - Monitor performance indicators against strategic, business plans and programs - Monitoring and reporting against strategic, corporate and business plans - Strategic Plan Progress Reports - Undertake annual community satisfaction survey - Develop satisfaction criteria and benchmarks - Receive and collate responses - Report to CEO, ELT and Council	1.	Managers and staff are not fully engaged in the development of strategic goals and strategies - Strategic goals are not relevant nor realistically achievable - Implementation strategies are not aligned to goals - Performance indicators are not relevant or meaningful	2	4	H	- Development of the strategic plan is a collegiate process involving the Executive Leadership Team, Middle Managers and staff. - Series of workshops undertaken with Middle Management Group to develop Municipal Plan - Council has committed to providing Council half yearly progress reports against the Municipal Plan. - community consultation undertaken - Internal audit of strategic performance undertaken June 2013	1	2	L				
	2.	Failure to ensure Municipal and business plans accurately capture all key activities of Council - legislative compliance activities - endorsed operational and capital projects	2	3	M	- Annual Review and updating of Municipal Plan and Business Plans - Municipal Plan aligned to budget	1	2	L			- Continued development of Business Plans to incorporate legislative compliance, risk treatment plans, operational and capital projects - Continued financial alignment and integration between Budget and Municipal Plan	
	3.	Performance Management Framework does not adequately address development of indicators and measures to ensure the relevance, reliability and validity of data - performance of departments and business sections against the identified strategies and KPI's - Delayed implementation of strategies and initiatives - Impacts on business processes - Failure to achieve strategic goals	2	3	M	- Coordination of reporting and recording performance is by a dedicated resource with OCE - Interplan updated quarterly 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 - Internal audit of strategic performance undertaken June 2013 - Municipal Plan indicators reviewed and updated to ensure data able to be collected and reported.	2	2	M			- Continued review of data to articulate data source and collection methodology - Internal Strategic Performance Framework Audit and Recommendations 1.0- -6.0	
	4.	Council's community satisfaction survey is not delivered across a sufficiently broad spectrum of media formats or demographics - we have a real risk of not capturing feedback from audiences that reflect the makeup of our community – i.e. majority of respondents over 40 when in fact our median age is around 32 - Not all ratepayers and stakeholders are able to access and complete the customer survey - Poor take-up / response rate - Distorted results for service delivery - Future service delivery planning not correctly aligned to community wants and expectations	3	2	M	- Development of the customer survey is undertaken in conjunction with Executive Leadership Team and Council - External researchers are engaged and use demographic sampling aligned to the community profile - Hard copy of the survey questions is made available to the public via Council's libraries and front counter - Control self-assessment in place - 5 year analysis of survey results conducted.	1	2	L				
	5.	Failure to ensure satisfaction criteria and performance benchmarks are relevant to services provided - Feedback received is irrelevant - Inability to address perceived deficiencies in service delivery - Future service delivery planning is not correctly aligned to community wants and expectations	3	2	M	- Development of the customer survey is undertaken in conjunction with the Chief Officer's Group, Middle Management Group and Council. - Customer survey questions approve by full Council	1	2	L				
	6.	Failure to put in place action plans to address issues raised in survey responses - Ongoing perception of failure to meet service standards - Ratepayer dissatisfaction - Negative media reporting	2	3	M	- Comprehensive report is prepared showing survey results and highlighting areas for improvement. - Comprehensive report is discussed in detail by the Executive Leadership Team. - Action plans to address required improvements are prepared by General Managers - Results and recommendations are presented to Council - Action / improvement plan to address areas of concern identified in the Customer Survey implemented 2014/15	1	2	L				
	MANAGE COUNCIL'S STATISTICAL PROFILES & ANALYSIS	7.					-						

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)		INTERNAL CONTROL		L	C	AR	TREATMENT PLANS (and control improvements)		RISK OWNER
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
STRATEGY & OUTCOMES – CORPORATE PLANNING & PERFORMANCE											
COORDINATE COUNCIL'S SERVICE REVIEW PROGRAM - Chart programs and outputs to document business processes, choke points and opportunities for process improvement - Municipal Plan program profiles service levels and associated resources (physical and financial) defined - Value Improvement Program implementation	8. Council programs are not run efficiently, programs are either over or under resourced and resources do not match required outputs - program profile delivery - customer expectations for service delivery	3	4	E	- This is in Council's business plan to complete an in depth review commencing in 2012. - External expert consultant has been engaged to facilitate this. - Council's approach to this has been approved by ELT - Value Improvement Program (VIP) commenced May 2012, Pilot Program concluded and reviewed in first quarter 2013. - VIP program implemented in Regulatory Services and commenced in Animal Management - VIP program for Council decision making / reports	1	4	M	- Review of Program Profiles aligned to Strategic Plan, organisational structure and budget structure - Define program service levels	Manager Strategy & Outcomes	
	9. Deficiencies in the processes used to monitor and improve levels of service delivery - Customer feedback mechanisms not in place - Mechanisms not in place to assess current service delivery levels	3	3	H	- Council's website is available for use by ratepayers and the community to provide feedback on services - Annual customer satisfaction survey undertaken and results published on Council's website - OCE has developed a Community Consultation policy which has been endorsed and adopted by Council - Value Improvement Program (VIP) commenced May 2012, Pilot Program concluded and reviewed in first quarter 2013 - 5 year analysis of customer satisfaction results will assist in defining future service levels	1	3	L			
	10. Failure to meet Council's legislated performance and operational obligations - Dismissal of Council - Reputation risk for Elected Members - Negative media reporting - Fines / Financial implications	2	4	H	- Compliance checklist has been developed and reviewed in 2012. - Checklist reporting is of regular monthly reporting to ELT - All compliance actions have been included in 2012/2013 Business Plans - Local Government Act Compliance review undertaken by Department of Local Government - Compliance Register updated 2014/15	1	4	M			
	11. Failure to recognise the need for development of governance policies and procedures to manage core business activities - Failure to develop core policies - Inconsistent work methodologies - Failure to meet recognised work standards	3	3	H	- Development of policies is managed through OCE and ELT - A central register is used for managing identification, development and review - Workflow has been approved and implemented for managing policy and procedure development - Maintenance of policies is undertaken by Manager Strategy & Outcomes - Framework developed for ensure all Council policies are reviewed within the term of the 21st Council - Control self-assessment in place	1	3	L			
	12. Failure to regularly review and maintain Council policies - policies become outdated - policies do not align with current legislation - policies no longer relevant	3	2	M	- All documents include nominated owner and a review date - Policy review is a process embedded in annual strategic and business planning - Framework developed for ensure all Council policies are reviewed within the term of the 21st Council - Control self-assessment in place	1	2	L			
MANAGE COUNCIL'S LEGISLATIVE COMPLIANCE PROGRAM AND POLICY FRAMEWORK - Local Government Act and Regulations Compliance - Compliance program extended to all legislation - Develop, approve, maintain and promote the use of policies, standards and guidelines for all key operational areas - Policies and standards template developed and approved - Applicability, ownership and review clauses - ELT review and approval - Sign-off by CEO - Posted to Inter and Intra Net - Policies captured in policy database - Reviewed and revised within agreed timeframes	13. Failure to promote the use of policy and standards - Inconsistent work methodologies - Failure to meet recognised work standards	3	2	M	- Policies and standards are promoted by ELT and business managers - Dedicated site on Council's website exists for reference to existing policies - Updated Policy template has been added to EDRMS - Control self-assessment in place	1	2	L	CSA	Manager Strategy & Outcomes	
	14. Failure of staff to be aware of and understand Council Policy, procedures and standards - Inconsistent / lack of communication regarding policies - Failure to ensure policies understood by all staff	3	2	M	- Policies and standards are promoted by ELT and business managers - Dedicated site on Council's website exists for reference to existing policies - Some policies discussed via CEO roadshows to ensure consistent message	3	2	M			
- Communication of Policies / Procedures to be imbedded into Team Meeting Agendas and minuted with attendance - Regular and routine communication regarding policies											

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL			L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)	RISK OWNER
	L	C	AR									
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												

GRANTS & AWARDS											
DEVELOP AND IMPLEMENT A STRATEGIC APPROACH TO SEEKING EXTERNAL GRANTS AND COUNCIL RECOGNITION THROUGH AWARDS - Identify available grant funding sources - Federal Govt, NTG, Private) - Linkage of funding opportunities to council priorities - Develop /assist development opportunities of funding applications - Manage funding agreements - Monitor compliance with funding conditions - Progress reporting - Financial reporting and acquittals	15. Additional projects to Council's core operational budget do not get funding and completed - new initiatives and capital and operational projects unable to be delivered as planned		3	3	H	- Council employs a dedicated Grants Officer (Strategic Project Officer) whose role is to seek, apply for and acquit grants - Council subscribes to monthly grants newsletter to keep abreast of funding available - Database has been developed to capture all cyclical grant funding with reminders to alert of approaching funding opportunities - An education program on the grants process will be delivered to Middle Managers and key staff in the 1st quarter of 2015 - Quarterly reporting to Council has commenced 2014/15 on status of Grants and Awards Program	1	3	L	- Grant / Funding Guidelines and Procedures to be implemented across Council including approval processes (applications, funding agreements, reporting) - Council's Intranet to be developed as a funding resource accessible to all staff	Manager Strategy & Outcomes
	16. Funding agreements are breached and funds may either be withdrawn or future funding applications are not viewed favourably. - future funding compromised due to lack of ability to comply with funding agreements - project not delivered in accordance with funding agreement outcomes - Council's reputation at Territory and Federal level compromised - Unfavourable audit report - Over / under expenditure		2	3	M	- Council employs a dedicated Grants Officer to carefully review grants funding agreements - Database has been developed to capture all cyclical grant funding with reminders to alert of approaching funding opportunities - Manager Strategy & Outcomes completes final review before signing agreements. - Specific points within the funding agreements are reviewed by relevant areas prior to signing (i.e. confirming timelines and outputs are achievable + specific conditions such as 'publicity' are reviewed by relevant sections such as Communications & Marketing) - Milestones in funding agreements are entered into Interplan and assigned to a responsible officer - Grants procedures to be presented to business units annually to allow for staff turnover and situational changes . - Control self-assessment in place	1	3	L		

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL			TREATMENT PLANS (and control improvements)			RISK OWNER
	L	C	AR	L	C	AR	L	C	AR	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER										

PEOPLE, CULTURE & CAPABILITY – STRATEGY AND TRAINING												
DEVELOP & IMPLEMENT A WHOLE OF COUNCIL WORKFORCE PLANNING STRATEGY Ensure we place the right people in the right jobs at the right time	16. Failure to identify and plan to have the right people in the right jobs at the right time - failure to succession plan for key roles - impacts on achievement of Council's objectives and strategies - targeted training and development not managed - high turnover/low retention of key employees		2	4	H		- Human Resources Strategic Plan developed for 2004 – 2008 - Interim plan was prepared for 2009 - Final version of "Workforce Plan 2014 and Beyond" approved by ELT July 2015	2	4	H		MANAGER PCC
	17. Failure to develop and maintain working relationships with staff and union officials - unsettled industrial environment/workplace - issues with negotiation of collective agreements - increased level of industrial disputes - financial implications - reputation risk		2	3	M		- EBA negotiations are controlled by legislated framework - Council has established and maintains good working relationship with union officials - Council's EBA negotiating committee is representative of the workforce profile - EBA consultation processes are comprehensive and inclusive	1	3	L		MANAGER PCC
DEVELOP AND IMPLEMENT COUNCIL WIDE EMPLOYEE TRAINING AND DEVELOPMENT OPPORTUNITIES - Mandatory induction for new employees - Ongoing training and development - Professional development - Deliver Graduate and Traineeship opportunities	18. Failure to develop and implement a comprehensive employee induction program - Employee unsure of job specific roles - Employee unaware of Council policies relating to performance - Employee unwittingly exposed to OHS risks - Reputation risk		2	3	M		- Council employs a dedicated Capability & Development Coordinator to manage induction programs - Formal induction program has been developed including overview of council, its role and presentations from the CEO and key business areas - Team Leader and employee induction procedure is mandated and includes mandatory training requirements as well as identifying training and development opportunities - Control self-assessment in place	1	2	L		TRAINING & DEVELOPMENT OFFICER
	19. Failure to develop and implement an approved training and development program - Development and training opportunities not identified during EDP processes - Development and training opportunities identified during EDP are not actioned through to training programs - Employees do not have access to job specific training - Inability to develop employee capabilities and manage succession planning - Employees access training programs not relevant to their employment		2	3	M		- Council employs a dedicated Capability & Development Coordinator to manage training and development programs - Training plans are developed and reviewed annually - Mandated training includes induction to Council and its role and functions, OHS, NTG Construction White Card, records management, purchasing - Additional training programs are based on job requirements and career development - Training and development and skills gap analysis is undertaken annually as part of Employee Development Plans - Training program undertaken by employees are recorded in Authority Skills Register - Control self-assessment in place	1	2	L		TRAINING & DEVELOPMENT OFFICER
	20. Failure to develop and implement initiatives to build a more constructive culture - Culture survey outcomes not addressed - Inadequate culture planning - Lack of leadership skills across the organisation - Employees not engaged in culture building - Organisational culture does not improve or declines - CoD is not a preferred employer		2	3	M		- Recruitment of specialist officer September 2014 to manage leadership and culture initiatives - Culture survey undertaken across all Council programs October 2014 - Culture Plans developed and implemented across the organisation, departments and teams - Leadership Development Programs established - Calendar of skills development and other culture initiatives being built	2	3	M		MANAGER PCC

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL		TREATMENT PLANS (and control improvements)		RISK OWNER		
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
PEOPLE, CULTURE & CAPABILITY – EMPLOYMENT PROCESSES											
MANAGE EFFECTIVE EMPLOYMENT PROCESSES - Code of conduct - PCC policies and procedures - position descriptions approved and reviewed regularly - remuneration levels assessed and determined internally using classification processes provided by independent consultants - recruitment management - Pre-employment checks (medical, psych and police) - Trained recruitment panel members - Develop and implement employee performance framework	21. Cost of living is a barrier to recruitment - More attractive remuneration and working conditions offered by competitor employees - Council cannot match salary packages offered by other employers - Inability to recruit and retain key employees	3	3	H	- City of Darwin salaries benchmarked against similar local government bodies across Australia using templates developed by National remuneration advisory company - Flexible and attractive conditions of employment – additional leave, district allowances, assistance with relocation costs - Market allowance applied to salary package where warranted	3	3	H	THIS IS OUTSIDE OF THE DIRECT CONTROL OF COUNCIL NO ADDITIONAL CONTROLS ARE FEASIBLE		
	22. Failure to develop and implement employment and employee management policies and procedures - Lack of clear direction for employees - Difficulty in managing performance and disciplinary issues	2	3	M	- PCC has developed a comprehensive suite of policies and procedures - Policies and procedures are reviewed regularly in compliance with Council's policy management processes	1	2	L		CSA	MANAGER PCC
	23. Failure to ensure job descriptions are reviewed to ensure duty statements accurately reflect the responsibilities of the position - Failure to attract suitable applicants - Delays in recruitment	2	3	M	- Comprehensive review undertaken when positions become vacant - Is the position still necessary - Review of position description - PD reviewed as part of annual Employee Development Plan - Control self-assessment in place	1	2	L		CSA	SENIOR HR ADVISOR
	24. Failure to undertake key employment checks (medical, psychometric testing, criminal history, working with children) - Inappropriate candidate appointed - Inability to discharge requisite duties - Potential reputation risk (criminal history, working with children) - Breach of legislation	2	4	H	- Pre-employment Assessment Procedure developed and implemented - Procedure is reviewed every four years under Council's policy & procedure review framework checks (medical, psychometric testing, criminal history, working with children) - Position descriptions prepared for all positions and include requirements to undergo specific checks relative to the role of the position - Control self-assessment in place	1	3	L		CSA	SENIOR HR ADVISOR
	25. Deficiencies or perceived flaws in the recruitment process - Not having the right person doing the right job - Impact on delivery of council programs - Staff diversity levels not achieved (Strat Plan) - Potential reputation risk	2	3	M	- Council has implemented a robust recruitment management system and procedures that address - selection panel composition - preferred recruitment timelines - merit principles - interview processes - recommendation to appoint - Recruitment training is undertaken for staff on recruitment panels - Candidates are required to address role specific selection criteria set out in the job description which are assessed by the selection panel - Normal procedure is for CEO approval required to appoint in instances where panel members cannot reach consensus on the preferred candidate - Control self-assessment in place	1	3	L		CSA	SENIOR HR ADVISOR
	26. Failure to develop and implement an approved performance management system - Inability to constructively manage good performance - Inability to manage underperformance or breaches of employee code of conduct - Work force capability is diminished - Morale implications for other employees - Potential reputation risk				- New employees undergo probationary period of employment and 3 - 6 monthly assessment and reporting - Performance appraisals undertaken for managers (contract) and ELT - Annual Employee Development Plan undertaken for all other staff - Control self-assessment in place					- <i>Investigate implementation of a revised performance review program</i>	MANAGER PCC

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL			L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)	RISK OWNER
	L	C	AR	L	C	AR						
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												

PEOPLE, CULTURE & CAPABILITY – BUILDING ACCESS										
ISSUE SECURITY ACCESS CARDS AND BUILDING KEYS UNDER INSTRUCTION FROM AN EMPLOYEE'S MANAGER OR GENERAL MANAGER - Access hours - Areas to access - Restricted areas access	27. Failure to ensure requisite documentation and approvals are sighted prior to issuing access cards and keys - Staff provided with access to incorrect areas - Staff provided with access for inappropriate times	3	4	E	- City of Darwin employs dedicated officer to issue security cards - Access requests for normal operating hours approved by employee manager - Special access requirements to be approved by departmental GM - Control self-assessment in place	1	4	M	CSA	PCC ADMIN OFFICER
	28. Failure to delete access permission and retrieve cards and keys when employee ceases working for Council - Ongoing unauthorised access to council facilities	2	4	H	- ER checklist used when employee ceases employment – includes requirement to retrieve all council property in the employees possession - outstanding pay and other entitlements are not posted to the former employee until all council property has been retrieved and ER checklist is returned and signed off by PCC staff - Control self-assessment in place	1	3	L	CSA	
	PEOPLE, CULTURE & CAPABILITY – WORKERS COMP AND PUBLIC LIABILITY CLAIMS									
MANAGE PUBLIC LIABILITY CLAIMS - Claim management - Liaison with claimant - Liaison with insurer and broker	29. Failure to implement and manage a PL claims monitoring data base - Inability to monitor incidents and claims - Inability to identify and take remedial action relating to identified “hot spots” - Excessive insurance premiums - Potential for refusal of future insurance over - Reputation risk	2	3	M	- Incident data base has been developed and is managed by Team Coordinator Risk, Audit & Safety - Incident and accident reporting forms have been developed and approved - All new employees are formally instructed at induction course on their requirement to report all incidents, accidents and near-misses involving members of the public	1	3	L	CSA	Risk & Safety Officer
	30. Failure to investigate and obtain substantiating evidence to support claims - Acceptance of fraudulent claim - Excessive insurance premiums - Potential for refusal of future insurance cover - Rejection of valid claim - Reputation risk	2	3	M	- Standard procedures for managing claims have been developed - Customer Services have been provided with client information sheet to advise potential claimants as to the nature of information required to support any claim lodged - Preliminary gathering of evidence is undertaken by WHS Officer - Additional investigation and questioning undertaken by insurance broker and insurer - Formal decision on whether claims will be accepted are undertaken by Council's public liability insurer - Formal agreement in place with Insurance Broker to provide claims management services	1	3	L		
	31. Failure to undertake comprehensive liability investigation - Failure to obtain substantiating evidence - Acceptance of fraudulent claim - Excessive insurance premiums - Rejection of valid claim - Reputation risk	2	4	H	- Preliminary gathering of evidence is undertaken by WHS Officer - Formal investigation and decision on whether claims will be accepted are undertaken by Council's workers compensation insurer - Control self-assessment in place	1	3	L		
MANAGE WORKERS COMPENSATION CLAIMS - Claims management - Return to work program - Settlement processes	32. Failure to implement WHS incident tracking - Inability to monitor incidents and claims - Inability to identify and take remedial action relating to identified “hot spots” - Excessive insurance premiums - Potential for refusal of future insurance over - Reputation risk	2	4	H	- Incident data base has been developed and is managed by Coordinator Risk, Audit & Safety - Incident and accident reporting processes is place - Employees have been formally instructed as part of staff induction on their requirement to report all WHS related incidents, accidents and near-misses - Remedial actions are noted on the reporting form and signed off by supervisors and managers - WHS training based on the numbers and nature of incidents recorded on the data base - WHS incident statistics are provided regularly to GMs and Team Leaders by Coordinator Risk, Audit & Safety - WHS incident awareness presentations provided to Infrastructure Staff at regular Roadshows by Coordinator Risk, Audit & Safety - Control self-assessment in place	1	3	L	CSA	Risk & Safety Officer

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL				TREATMENT PLANS (and control improvements)		RISK OWNER	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
INFORMATION TECHNOLOGY													
DEVELOP, MANAGE AND IMPLEMENT A DIGITAL STRATEGY FOR THE CITY OF DARWIN - IT policy and strategic plan - oversee ICT change and risk management - improvement of current IT systems, and assess future IT needs plan - manage and finalise ICT projects - manage resources of team members and third party contractors or consultants	33. Failure to ensure ICT infrastructure is managed and controlled through a representative and responsible body - Failure to engage stakeholders across the organisation - Deficiencies in long term ICT development plans - Failure to adequately budget for ICT development - inherent system redundancies - fragmented approach to development and management of ICT systems - potential for development of duplicated systems	2	4	H	- Council has developed and implemented an IT Digital Strategy - City of Darwin has convened the IT Strategic Leadership Group with cross-departmental representation which has specified roles set out in its Terms of Reference - Budget and development planning is managed by Manager Information Technology and GM Corp Services - Control self-assessment in place	2	2	M	AUDIT 2015/16	- Business continuity and IT DR plans being developed - IT digital strategy should define how compliance and security requirements are to be addressed in IT projects - Strategy ToR should define the roles and responsibilities of the Strategic Leadership Group	MANAGER INFORMATION TECHNOLOGY		
	34. Failure to ensure underlying system architecture supports the existing business needs and is flexible enough to meet changing organisational needs	2	4	H	- Council has developed and implemented an IT Digital Strategy - City of Darwin has convened the IT Strategic Leadership Group with cross-departmental representation which has specified roles set out in its Terms of Reference - Adoption of best practise systems	2	3	M		- Conduct periodical reviews of IT assets to ensure replacement is conducted before assets become unsupported			
	MANAGE AND IMPLEMENT COUNCIL'S ASSET MANAGEMENT STRATEGY FOR COMPUTER HARDWARE AND SOFTWARE ASSETS - planning, development, implementation and maintenance of the IT domain - ensure the effective operation of Council's Local Area Network - configuration and installation of servers - documentation of system configuration - security of Council's computer data - assess hardware or software failures and activate necessary corrective action - operational performance of the computer environment - evaluate new hardware equipment and software systems - maintain procedural manuals and end user guides - user support for all Council supported applications - training programs - manage security of Council's computer based data including access levels - manage data retention and backup/recovery procedures - business continuity planning	35. Failure to ensure ICT architecture documentation is both current and complete - Loss of corporate knowledge through reliance on limited numbers of key staff - Increased troubleshooting resolution	3	4	E	-	3	4	E	AUDIT 2015/16	- Need to undertake a project to document ICT infrastructure as part of Business continuity/IT DR planning	MANAGER INFORMATION TECHNOLOGY	
	36. Server room infrastructure compromised - Physical damage to server - Air-conditioning failure - Corruption or loss of data - 1 hour window to maintain servers under load without aircon - 2 hour minimum to manage orderly shutdown process - Potential for 21 day outage if servers lost	2	5	E	- Off-site storage of back-up tapes implemented 11/2011 - IT specific back-up generator and UPS installed 2013 - Civic Centre back-up generator installed 2015	1	4	M	AUDIT 2015/16	- Systems backups should be tested periodically to ensure data and systems can be recovered			
	37. Unplanned loss of power - air-conditioning failure - Physical damage to server - Corruption or loss of data - 1 hour window to maintain servers under load without aircon - 2 hour minimum to manage orderly shutdown process - Potential for 21 day outage if servers lost	3	5	E	- Off-site storage of back-up tapes implemented 11/2011 - IT specific back-up generator and UPS installed 2013 - Civic Centre back-up generator installed 2015	1	4	M	AUDIT 2015/16	- Systems backups should be tested periodically to ensure data and systems can be recovered			

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL			L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)	RISK OWNER
	L	C	AR	L	C	AR						
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												

INFORMATION TECHNOLOGY												
MANAGE COUNCIL'S DATA SECURITY REQUIREMENTS		38. Unauthorised access to ICT equipment & applications - Disgruntled employee causes malicious damage - External virus threat - Loss of server capability - Deletion of applications or data bases - Loss of or corruption of data - Potential for 21 day outage if servers lost	2	5	E	- Physical access to key technology resources is restricted and secure - Reporting is available for access attempts to secure area - Cabinets housing server equipment are locked - Off-site storage of back-up tapes implemented 11/2011 - IT specific back-up generator and UPS installed May 2013 - Civic Centre back-up generator installed 2015 - Control self-assessment in place	1	4	M	AUDIT 2015/16	- Implement network access controls to restrict use of unauthorised devices - Systems backups should be tested periodically to ensure data and systems can be recovered - Implement ASD strategies to mitigate targeted cyber intrusions - Develop an operational check calendar that reviews :- • access to server room • roles and users in Authority • Tests system restores from back ups • antivirus alerts • sensitive file access on networks • user awareness training	MANAGER INFORMATION TECHNOLOGY
			2	5	E	- Offsite storage of back-up tapes implemented 11/2011 - IT specific back-up generator and UPS installed May 2013 - Civic Centre back-up generator installed 2015 - Control self-assessment in place	1	4	M	AUDIT 2015/16	- Systems backups should be tested periodically to ensure data and systems can be recovered	
			2	3	M	- Redirect protocols in place to manage failures - Answer point diversion to Operations Centre	2	3	M	AUDIT 2015/16	-	
			3	3	H	- City of Darwin ICT policies developed for use of ICT facilities, use of internet and email, downloading of software , disclosure of City of Darwin information and use of intellectual property - Internet filter software in place to control access to inappropriate sites - Internet usage monitored for volume of downloaded material and access time - Email filtering system in place - Control self-assessment in place	1	3	L	AUDIT 2015/16	- Define a security policy that establishes executive and staff responsibilities for information security	
			2	2	M	- City of Darwin ICT policy prohibits the loading of unauthorised software to the system - All staff are required to read and sign the ICT policy - Random audits of PCs are undertaken by ICT Services - Virus software installed and updated daily - Control self-assessment in place	1	2	L	AUDIT 2015/16	- Implement a user awareness policy for roles and responsibilities	

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL			L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)	RISK OWNER
	L	C	AR									
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												

INFORMATION TECHNOLOGY												
DELIVER, MAINTAIN AND SUPPORT SOFTWARE APPLICATIONS AND INFORMATION SYSTEMS - system administration and end-user support for Council's Business System applications (Authority, EDRMS, Interplan, BIS, Mandalay and other business applications) - maintain procedure manuals, user guides and operational instruction for business applications - end of day and backup processing - Administration of staff user accounts - IT Helpdesk system - Telecommunication devices including mobile phones, main telephone system and internet data accounts - set up and configuration of new devices - user support for all Council supported applications - Computer Assets database is maintained - IT inductions	43. Failure of key individual business systems / applications - Loss of data and information (localised to apps) - Corruption of data within individual systems - Synchronisation and linkage of data within multiple systems - Download times for backing up systems – data transfer - Variations in recovery times for individual applications - Data is either maliciously or intentional removed		2	4	H	- Full weekly back-ups undertaken for all business drives - Incremental daily data back-ups run for all business drives - Full monthly back-up undertaken - Daily back-ups held in off-site storage - Separation of network servers – virtual access barriers in place - Localised redundancy inbuilt – one server off line load is picked up by other servers - Control self-assessment in place - Business continuity/IT DR plan being developed 2012/13 - Firewall protection in place	1	3	M	AUDIT 2015/16		MANAGER INFORMATION TECHNOLOGY
						- Access to business drives is determined by employee's manager based on job requirements - Recommended access is verified by ICT Services to ensure access is not granted to sensitive information - Separation of roles and duties in place – access is based on needs of roles being undertaken – variations require managerial approval and IT intervention - Termination of user accounts is managed through formal separation process (checklist) - Employee Relations advises ICT Services in relation to employees who retire or are discharged - Systematic review and clearing of old users undertaken by ICT Services - Control self-assessment in place	1	4	M	AUDIT 2015/16	- <i>Implementation of standardised procedures to manage termination of user accounts for permanent, temporary and contract based employees</i>	
MANAGE AND PROVIDE COUNCIL'S GEOGRAPHICAL INFORMATION SYSTEMS (GIS) SERVICES - cadastral, topographic and other data sets - links between GIS and other systems (rates, asset management, planning, building, customer request and records management) - business process improvements - end user access (internal and external clients) - end user training	45. Reliance on limited numbers of key personnel to manage the system - Data management agreements with other departments - Training of users in other departments		2	4	H	- Training is being undertaken by other staff in system administration - Standardised agreement with NTG for provision of cadastral information and aerial photography data - public scrutiny of data quality	2	3	M		- <i>Quality assurance function around information supplied by third parties</i> - <i>Need to ensure ownership issues are resolved and whether this information management role sits with Information Technology or Technical Services</i> - <i>Implement policy and procedures for managing the GIS</i>	GIS OFFICER
						- data is verified by Civil Infrastructure and Technical Services staff prior to be entered - Civil Infrastructure staff will identify incorrect data during routine works programs	2	3	M			Corporate Information Coordinator
MANAGE PRINTER and PHOTOCOPIER CONTRACTS - Contractor liaison - Invoice management - splitting invoices across departments - Troubleshooting and consumable replacements - Consumable inventory management	47. Failure to ensure that billing for IT services is accurately apportioned across user departments and sections - Under/overcharging of services - Failure to cost recover		2	2	M	- Billing is reviewed and apportioned by IT staff	1	1	L			
	48. Failure to manage inventory and consumables - Downtime incurred through lack of spares/consumables - Theft or misappropriation of consumables		2	2	M	- Inventory is managed by IT staff	1	1	L			

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)		L	C	AR	INTERNAL CONTROL		L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)		RISK OWNER	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER																
RECORDS MANAGEMENT - SYSTEMS & STRUCTURE																
IMPLEMENT & MANAGE RECORDS MANAGEMENT SYSTEMS, POLICIES AND PROCESSES - Records management systems, policies and processes comply with requirements of the local government act, other applicable legislation and Australian standards. - Records are captured, registered, archived and disposed of in accordance with approved rules and conventions and in an authorised manner. - Records are accessible to staff across the organisation through utilising modern search functionality. - Records are able to be retrieved efficiently for storage. - Sensitive information is protected by applying security profiles that match business requirements. - System issues are resolved in a timely manner and with minimal impact to core business processes. - Information of significant organisational or historical value is identified, protected and preserved in a legally responsible manner. - FOI requests are processed and addressed in compliance with the Freedom of Information Act 20xx.	49. Failure to develop and embed a strong records management culture across the organisation - Failure to develop, implement and manage records management policies and standards - Staff are not informed of legislated responsibilities - Failure of staff to ensure records are captured - Inconsistent and ineffective records management practices - Inability to access and retrieve records as and when required - Poor corporate memory and knowledge		3	3	H		- Records Management policy drafted – to be endorsed by ELT - Records management managed centrally by a dedicated business unit - System administrator is responsible for EDRMS training as part of induction process for all new staff and further training is made available on request - System Administrator is responsible for maintenance of EDRMS user information and security access - business continuity plans developed - control self-assessment in place		3	3	H		ORA identified that there were some ongoing issues with EDMS in its current form. These issues included :- - Inability to control the culture of staff, despite a robust training program, including mandatory introductory level training as part of the employee induction program - Inconsistent approach to EMDS across the organisation - Ease of retrieval of documents is impacted by the data file structure - The current subject based file structure is being replaced by a function based file structure that will ease the process file retrieval CSA Corporate Information Coordinator			
	50. Records management system does not meet requirements of legislation, standards and users - Inconsistent and ineffective records management practices - Inability to access and retrieve records as and when required - Inability to capture records created by new technologies - Staff are disempowered to perform their R&IM duties - Poor document version control and single source of truth - Poor organisational confidence in EDRMS - Poor information reporting and searching - Poor information tasking and tracking		3	4	E		- The file structure is defined within EDRMS - Corporate Information use NTG EDMS rules and naming conventions - New version of EDRMS implemented 2015 - business continuity plans developed - control self-assessment in place		2	4	H					
	51. Inappropriate security levels applied for user access - Access to and disclosure of sensitive material - Inability to access information in a timely manner - Loss of corporate knowledge		2	4	H		- System Administrator is responsible for maintenance of EDRMS user information and security access - Records management system incorporates automated security levels based on document classes - Users can request additional levels of security for sensitive material - New version of EDRMS implemented 2015 - control self-assessment in place		1	2	L					
	52. Failure to ensure staff are trained in EDMS - Inconsistent data recording methodologies - Inability to retrieve records - Loss of corporate knowledge - Duplication of existing files						- EDRMS training is mandatory for new employees - Dedicated EDRMS trainer within Records - further training is made available on request - Control self-assessment in place									
	53. Failure to follow file structure rules, thesaurus and naming conventions - missing records or incorrect disposal schedule - Inability to access information in a timely manner - Loss of corporate knowledge - Duplication of existing files - Poor classification and structuring of records						- Comprehensive records management file structure is being developed - Rules and naming conventions monitored by Records Management Unit when new files created. - Disposal of files is guided by disposal schedule - control self-assessment in place									
ADMINISTER COUNCIL'S RECORDS MANAGEMENT SYSTEM - Structured and resourced to meet the needs of the organisation and to ensure it is not working to a backlog. - Frequent and compliant training is provided to staff in the use of all relevant Records Management tools and services. - Administration and development of a compliant (EDRMS). - Administration and development of an organisation wide Business Classification Schema (BCS). - Administration of the organisations Retention and Disposal (R&D) function. - Periodic information audits and appraisal projects of physical and electronic information silos. - Data cleaning and migrated services to Business Units for electronic records. - Initial point of quality control, single-source of truth and Life-cycle provision for incoming information to the organisation. - Proactively develop policies and procedures to advocate Records Management principles and advance the organisations R&IM function. - Foster an organisational culture of compliant and best-practice to empower staff to meet their record-keeping requirements confidently and comfortably. - Provide Mail and Courier Services including the management of accounts with Australia Post and TOLL and the distribution of internal correspondence.	54. Inadvertent disposal of file prevents CoD from providing evidence to justify actions, prove compliance with legislative requirements, satisfy audit requirements - Poor information discovery across inactive records - Poor knowledge of value of inactive records						- Disposal of Records is guided by disposal schedule - COD Record owner to recommend disposal – Custodian (NTG Archives) required to approve									
	55. Retention and disposal authority review schedule is not established or reviewed regularly						- Disposal schedule in place (being reviewed) - Schedule to be reviewed annually									
	56. Appraisal process is inadequate resulting in records being destroyed in contravention of authorised retention and disposal schedule - Irresponsible and potentially illegal disposal of records						- Continual review of records management principles set out in Council's Records Management Policy - Specific emphasis on retention and disposal of records across all information systems									
57. Failure to ensure services are delivered in accordance with contract and SLA's - Poor attention to detail when capturing records - Poor document capturing into EDRMS		2	2	M		- Service delivery standards are set out clearly in contract and SLA - Penalty provisions included in contract for failure to meet service standards		1	2	L						

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL				TREATMENT PLANS (and control improvements)		RISK OWNER		
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														
RECORDS MANAGEMENT – FREEDOM OF INFORMATION														
MANAGE COUNCIL’S REQUESTS AND COMPLIANCE RELATING TO FREEDOM OF INFORMATION (FOI) - Information Act - Applications for access to council and personal information are processed within statutory timeframes - Applications for access to information are processed with due consideration of third parties, exemptions and privacy principles contained within the legislation - Privacy principles are adhered to in respect of Council records and information - Training is provided to management and staff		58. Failure to ensure all relevant staff are provided training in the processing of applications for information - Access to / disclosure of sensitive information - Action taken in relation to this process may breach the NT Information Act		2	3	M	- Staff trained in FOI implications - Applications managed through central point of control within Corporate Information - Hierarchy of approvals in place to disclose requested information - control self-assessment in place		1	3	L	CSA		
RECORDS MANAGEMENT – SWITCHBOARD MANAGEMENT														
PROVISION OF SWITCHBOARD SERVICES DURING BUSINESS HOURS - Provision of switchboard staff - Liaise with IT re troubleshooting		59. Reliance on limited numbers of staff with key competencies - Difficulty in replacing operational staff - Delays in processing incoming calls - Failure to meet customer service agreement levels - Ratepayer and public dissatisfaction		2	3	M	- additional staff trained in the use of switchboard equipment - Management of switchboard is being addressed through BCM planning		2	3	M	AWAIT OUTCOMES OF BCM PLANNING		Corporate Information Coordinator
MAIL AND COURIER SERVICES - Aust Post Mail - Courier services - Manage incoming and outgoing mail deliveries - Manage internal delivery of mail and correspondence		60. Failure to ensure services are delivered in accordance with contract and SLA’s		2	2	M	- Service delivery standards are set out clearly in contract and SLA - Penalty provisions included in contract for failure to meet service standards		1	2	L			

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL		L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)		RISK OWNER
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
FINANCIAL SERVICES – FINANCIAL PLANNING & BUDGET													
DEVELOP AND IMPLEMENT A FINANCIALLY SUSTAINABLE LONG TERM FINANCIAL PLAN, ANNUAL BUDGET AND QUARTERLY BUDGET REVIEWS - Revenue and Expenditure Budget to facilitate the delivery of Corporate Objectives - Capital budget to facilitate medium and long term investment strategy for infrastructure - Cost Centre budget in consultation with ELT, Department Managers and the CEO to ensure that the delivery of business unit objectives and strategies are fully costed and funded - ensure compliance with applicable legislation and accounting standards and the Local Government Act	61. Non-compliance with legislation and accounting standards - Inability to prepare reports in accordance with legislation and standards - Failure to meet legislative deadlines - Audit qualification	2	4	H	- Employment of qualified staff with relevant experience in both Financial Services and Local Government operations - Ongoing training and development programs - Information bulletins from relevant professional bodies - Financial Services has developed a scheduler to manage reporting obligations and timeframes - Control Self-assessment reviews in place	1	2	L	CSA		Manager Finance		
	62. Failure to maintain adequate accounting records - Inability to obtain information that is timely and accurate to use as a basis for decision-making - Lack of audit trails - Failure to maintain records in accordance with audit requirements	2	4	H	- Dedicated accounting software package in place - Documented procedures in place detailing recording keeping requirements - Employment of qualified staff with relevant experience in both financial services and Local Government operations - Ongoing training and development programs - Information bulletins from relevant professional bodies - Control Self-assessment reviews in place	1	1	L					
	63. Recruitment and retention of core staff - Inability to recruit suitably qualified personnel - Loss of corporate knowledge - Up-skilling and training impacts - Competition from other employers, esp NTG offering higher salaries	3	3	H	- Job descriptions clearly detail roles and responsibilities relevant to the position - Leave and other incentives built in to remuneration packages - Culture and attractive conditions of employment	2	2	M					
	64. Failure to address capital budget process from a whole of organisational perspective – long term infrastructure planning - Ad hoc budget development - Unplanned expenditure impacts on other business groups	2	4	H	- Long term capital planning is a requirement of the Local Government Act - City of Darwin 10 year capital works plan developed, reviewed and recommended by ELT – approved by Council - Control Self-assessment in place	1	2	L					
	65. Failure to ensure systems are in place to identify and report on material budget variations - Significant budget over spend or underspend not addressed in a timely manner - Unplanned or uncontrolled expenditure	2	3	M	- Monthly operational variance reports are run highlighting 10% and \$10k, or \$100k variance - Reports presented to GMs for comment and then to ELT - InterPlan financial reporting identifies variations - Capital works expenditure reporting monthly to ELT - Quarterly budget review undertaken by Financial Services - Chief Officers Group has mandated that all invoices must be supported by a purchasing order to track budgeted expenditure - Control Self-assessment in place	1	2	L					

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL			L	C	R	AUDIT OR CSA	TREATMENT PLANS (and control improvements)	RISK OWNER
	L	C	R									
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												

FINANCIAL SERVICES – LEGISLATION, POLICY & PROCEDURES												
ENSURE COMPLIANCE WITH INTERNAL and EXTERNAL ACCOUNTING POLICIES AND STANDARDS - Investments Policy - Asset Management Policies - Purchasing Policies - Fraud Policy - Internal Control Procedures - manage financial delegations - general ledger structures reflect council's business operations and management structure	66. Failure to identify the need for, and develop, Financial Services specific policies and standards	2	3	M	- Requirement for policy and procedures is determined initially by legislation and accounting standards - Council engages legal advice in relation to contentious issues - Internal procedures are developed using risk analysis and managed through Procedures Sub Committee - Control Self-assessment reviews in place	1	2	L	CSA			
	67. Failure to put in place processes to detect non-compliance with policies and standards	2	4	H	- Internal processes include separation of duties and cross checking - Control Self-assessment reviews in place - Exception reporting in place - End of month reconciliations and reports - Daily bank reconciliations and cross checking - Fraud management policy and procedure approved by ELT March 2013 - Control self-assessment in place	1	4	M				
	68. Failure to provide correct level of financial delegation to ensure officers are able to effectively carry out their duties	3	3	H	- 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 - Delegations not currently assigned by role/function – constrained by IT system limitations – this will be addressed by end of year with the implementation of the Org Structure functionality and on-line questioning functionality through Authority - Financial Services regularly review levels of delegation to ensure appropriateness - Financial Services review payments to ensure approval by officer with appropriate delegation - Control Self-assessment in place	1	2	L				
	69. City of Darwin General Ledger structure not aligned with current organisational business activities	2	3	M	- Total Key is mapped to organisational chart - Total Key structure is imported into BIS and InterPlan, and reviewed regularly by ELT - Control Self-assessment in place	1	2	L				
	FINANCIAL SERVICES – INSURANCE											
MANAGE INSURANCES - Insurance classes - Annual review of insurance levels - Period review of insurable risks by insurer	70. Failure to ensure Council has appropriate classes of insurance coverage	2	5	E	- Annual review of insurance undertaken by City of Darwin and insurance broker - Insurance renewal timeline is driven by insurance broker - City of Darwin's Broker recommends appropriate classes of insurance based on information supplied by City of Darwin regarding OHS and PL claims history, asset and building valuations, contents and plant registers - City of Darwin exposure once insured is confined to the level of excess applicable to each policy - Control Self-assessment in place	1	3	L	CSA			
	71. Failure to ensure adequate levels of insurance for each insurance class	2	4	H	- City of Darwin and City of Darwin insurance broker undertaken annual assessment of insurable risks and levels of cover - City of Darwin exposure once insured is confined to the level of excess applicable to each policy - Control Self-assessment in place	1	3	L		Manager Finance		

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL				TREATMENT PLANS (and control improvements)			RISK OWNER			
	L	C	AR	L	C	RR	AUDIT OR CSA		L	C	RR	AUDIT OR CSA		RISK OWNER
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														

FINANCIAL SERVICES – MANAGEMENT ACCOUNTING (Budget and Reporting)												
MANAGE AND DELIVER ON COUNCIL'S ANNUAL STATUTORY AND FINANCIAL REPORTING OBLIGATIONS - Financial statements and notes - Performance reports and statistics - Reporting timelines - Audit processes financial reporting - Quarterly variances against budget - Monthly infrastructure spending - Monthly R & M program reports - Monthly management financial reports - Monthly KPI reporting (internal and external) reconciliations and month end processes - Monthly reconciliation of GL and Balance Sheet accounts - Close off ledger - Take up debtors and creditors - Reconcile cash - Depreciation - Payroll - Interest and unearned revenue - Clear suspense account	72. Errors or omission in financial statements - Misstatement of assets and liabilities - Misstatement of income and expenses - Failure to comply with accounting standards - Political and reputation risk - Impacts on ELT decision making processes - Impacts on allocation of scarce resources - Lost time on reworking	2	4	H	- Financial statements are prepared by suitably qualified and experienced staff - Financial statements signed off by Audit Committee - External audit conducted on financial statements - Actual performance reported against budget with explanations provided on overs or unders - Managers required to explain individual overs or unders - Investigation is currently underway to look at implementation of new budget modules and streamlining of processes - Control Self-assessment in place	1	2	L	CSA			Management Accountant
	73. Financial reporting timelines not adhered to - Financials not ready for Auditors - Qualified audit - LGA legislative deadlines missed	2	3	M	- Year-end timetable is drafted and implemented before 30/6 - Financial statements are prepared by suitably qualified and experienced staff - Control Self-assessment reviews in place	1	3	L				
	74. Reconciliations and month end processes not undertaken in a timely manner - Failure to identify and correct accounting errors - Under or overstated current financial position - Undetected fraudulent activity - Incorrect reporting - Potential for audit issues	2	3	M	- On a daily basis a bank reconciliation is performed that explains the movements on the bank accounts and includes payments of suppliers and payroll related payments - The trust account is reconciled on a monthly basis and the reconciliation is approved by the Management Accountant - Suspense accounts are reconciled on a monthly basis and the reconciliation is approved by the Management Accountant - Interfunds are reconciled on a monthly basis the reconciliation is approved by the Management Accountant - Accrual reports are prepared on a monthly basis and the report is approved by the Finance Manager - Monthly reporting of financial result to ELT and Council - Sign off on a reconciliations performed monthly occurs by supervisors - Control Self-assessment reviews in place	1	2	L				
	75. Suspense accounts are not cleared in a timely manner - Revenue or expenditure not assigned to correct business functions - Unrecognised revenue or expenditure	2	3	M	- Reconciliations performed monthly and reviewed for outstanding balances - Sign off on a reconciliations performed monthly occurs by supervisors - Control Self-assessment reviews in place	1	2	L				

FINANCIAL SERVICES – MANAGEMENT ACCOUNTING (Investments)												
MANAGE COUNCIL'S INVESTMENTS AND PROVIDE ADVICE ON COUNCIL'S BORROWING IN ACCORDANCE WITH ADOPTED POLICY	76. Failure to develop and implement policy and procedures to manage investments prudently and secure maximised returns - Lack of separation of duties - Investment in unsuitable investment classes - Potential for large financial losses - Media risk	2	5	E	- Council has an endorsed Investment Policy which sets out investment limits and thresholds - Monthly investment report is provided to ELT and Council to ensure that investment limits and thresholds are not exceeded - Three interest rate quotes are obtained for the required term - The Management Accountant or Financial Accountant signs the Statement of Investment of Surplus Funds to authorise acceptance of the quoted interest rate and term - 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 - Redemption of investments must be approved by the Management Accountant, Financial Accountant or Finance Manager. - After being redeemed the investment register is marked 'redeemed' and placed in a separate file. - A check is performed that the investment is debited in the bank account - The investment spreadsheet is reconciled to the General Ledger on a monthly basis. - Both the investment principle and investment interest are reconciled and the reconciliations are approved by the Management Accountant - Control self-assessment in place	1	3	L	AUDIT 15/16			Manager Finance

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL				TREATMENT PLANS (and control improvements)				RISK OWNER	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER															
FINANCIAL SERVICES – REVENUE (Revenue)															
MANAGEMENT OF COUNCIL’S REVENUE FUNCTION INCLUDING GENERATION OF COUNCIL’S RATES - Compliance with legislation - Revenue policies and procedures - Rates forecasting - Rates and Debtors ledgers - Revenue collection - Fees and Charges registry revenue budgeting - Fees and Charges - Valuation roll reconciliation		77. Inaccurate forecasting of rates - Incorrect rate income levied - Revenue forecast inaccurate - Budget deficit or surplus - Deferral of major projects	2	4	H	- Initial forecasts are tested for "reasonableness". ie that a 5% increase in rate in the dollar returns approx 5% increase in rate yield - For complex modelling such as revaluation of assessed values two different modelling software systems are used with results compared for similarity of results - All modelling is performed by Revenue Team Leader, results are collated and then reviewed by Finance Manager - Prior to finalisation of budget estimations the favoured rating scenario is run in the rating "test" system to ensure results are as predicted - The Rates module is approved by the Revenue Supervisor and is reconciled with the latest valuation roll including a check that the assessment has the correct Unimproved Capital Value (UCV) - A check is performed to ensure the amounts of rates proposed are in line with the Rates Declaration and will produce the required level of revenue as per the Rates Declaration - Control Self-assessment in place	1	2	L				Revenue Team Leader		
		78. Failure to meet community and legal obligations	2	4	H	- A rates policy is prepared. - The rates declaration is approved by an registered lawyer. - Rates are published in an appropriate community publication - Control Self-assessment in place	1	2	L						
		79. Failure to manage rate collections in a timely manner	2	4	H	- Instalment reminder letters are sent to rate debtors with outstanding balances greater than \$500 commencing after the first two instalments (overdue amount) unless they have already been referred to a Debt Collection Agency (DCA) - Debts will be referred to a debt collection agency if no response is received to the instalment reminder letter. Rate debtors with outstanding balances greater than \$500 commencing after the first three instalments (overdue amount) will be referred to a debt collection agency unless they enter into a satisfactory payment arrangement - The Rates Trial Balance is reconciled to the General Ledger on a daily basis - The rates adjustment suspense account is checked and cleared monthly - Control Self-assessment in place	1	2	L						
		80. Failure to ensure currency of property values is maintained	2	4	H	- Valuation roll changes are received monthly and updated in AUTHORITY - Control Self-assessment in place	1	2	L						

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL				L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)		RISK OWNER
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER																
FINANCIAL SERVICES – REVENUE (Debtors)																
MANAGE DEBTORS		81. Failure to verify bona fides of new debtors	2	2	M	- New credit applications undergo a registration check (via ASIC). They are then approved by the Revenue Team Leader prior to application being forwarded to a Revenue Officer to set up the debtor account. - This process is followed only for new sundry debtors pertaining to the Shoal Bay waste facility - Control Self-assessment in place	1	1	L	CSA			Revenue Team Leader			
		82. Failure to raise invoices for services provided - Revenue not received - Fraudulent behaviour	2	3	M	- Experienced staff in Revenue Area - Weighbridge produces a report which is reconciled against debtor invoices raised - Checked by Revenue Team Leader - Regular invoices such as rentals, permits etc are maintained on a diarised schedule - Require written request from initiator to add/amend/delete, recorded on EDRMS system - If an invoice was not raised, there would be no income line in initiators' budget, resulting in budget exception notation - Control Self-assessment reviews in place	1	2	L							
		83. Failure to manage debtors in a timely manner - Revenue collection is delayed - Cash flow impacts - Reputation impact – level of bad debtors at end of year - Impact on Strategic Plan outstanding debtors target	2	3	M	- Report produced from Debtors system each month for ELT listing all debtors over 90 days overdue and recovery action taken to date - Chart produced for Council each month showing last 3 months comparison of debtor ageing. - Debtors reconciled monthly by Revenue staff, checked by Revenue Team Leader - Control Self-assessment reviews in place	1	2	L							
FINANCIAL SERVICES – REVENUE (Leases & Licensing)																
NEGOTIATE AND ADMINISTER LEASES AND AGREEMENTS FOR COUNCIL’S PROPERTIES - Comply with Council’s policies and procedures “Long Term Lease Policy” - Negotiate best value for money outcomes for Council - Annual rent reviews - Independent rent review to market value - Manage public liability insurance register - Manage and maintain relationships with tenants - Mitigate risks to Council - Property inspections / condition assessments - Property procedure manual and files - Tree management issues and responsibilities identified in leases		84. Failure to ensure compliance with City of Darwin Long Term Lease policy - Failure to ensure that properties are covered by formal lease agreements - Failure to specify terms and conditions of use - Failure to ensure commercial return on investment - Adequacy of Insurance and indemnity provided by lessees - Management and maintenance obligations not clearly defined - Health and safety responsibilities not clearly defined	2	3	M	- All leases are the subject of a detailed report to Council outlining material non-compliance issues - All leases are prepared by Council’s legal advisor who provides the terms and conditions of the lease - All leased properties are the subject of an independent valuation - The lessee is required to provide details of insurance to Council annually - Annual rent reviews are undertaken by Business Services - Annual verification of adequacy of PL insurance undertaken by Business Services - Annual building/property inspection undertaken in conjunction with Building Maintenance Section - Capital works forecasting undertaken annually by BSM - Control self-assessment in place	1	2	L	CSA			Property Officer			
		85. Failure to ensure that responsibilities for management of trees on Council properties leased to third parties is clearly identified in lease documents - Failure to address recommendations arising from the Coronial recommendations on property contracts and maintenance issues - Potential for escalated sanctions - Legal actions - Political risks - Media and reputation risks	3	5	E	- ED Corp and Manager Business Services have implemented a review of all commercial leases to ensure that responsibilities for maintenance of trees on leased property are clearly set out in lease documents - ED Infrastructure and Manager Infrastructure Maintenance are developing an inspection program specifically for trees on leased property	2	4	H							

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL				TREATMENT PLANS (and control improvements)				RISK OWNER
LEGEND :		L	C	AR	L	C	AR	L	C	AR	AUDIT OR CSA			
L = LIKELIHOOD		C = CONSEQUENCE		AR = ABSOLUTE RISK	RR = RESIDUAL RISK		RO = RISK OWNER							
ISSUE LICENCES/PERMITS FOR ACTIVITIES UNDERTAKEN ON COUNCIL LAND / PROPERTY AND LIAISE WITH COMMUNITY MARKET ORGANISERS - development and/or renewal of licence arrangements with markets operators - adherence by market operators with agreement schedules - relationships with community markets - maintenance issues (Building Maintenance) - resource meetings with operators	86. Failure to ensure that provision of council land and infrastructure is managed under a formal license to use - Failure to specify terms and conditions of use - Adequacy of Insurance and indemnity provided by lessees - Management and maintenance obligations not clearly defined - Health and safety responsibilities not clearly defined	2	4	H	- A licence agreement is entered into detailing terms and conditions of use	1	3	L					Property Officer	
MANAGE SECURITY SERVICES TO PROTECT COUNCIL OWNED PROPERTY - Initiate and assess tender documentation - Update procedures - Ensure the contractor performs in accordance with the contract documentation - identify non-compliant contract issues - recording details of incidents and issues - rectification action - monthly incident reporting	87. Contractors fail to meet obligations under contractual conditions - Incidents not reported to Council - Incidents not addressed in a timely manner - Public infrastructure compromised - Potential safety issues for the public - Public dissatisfaction and complaints - Reputation risk - Public amenity compromised	2	4	H	- Requirements to report issues promptly are included in the contract (reportable incidents- next working day)	2	2	M			- contractor performance is not under our control	- members of public will report issues – unlocked laneways	Property Officer	
FINANCIAL SERVICES - CONTRACT ADMINISTRATION														
AWARD CONTRACTS THROUGH A TRANSPARENT PROCESS OF ADVERTISEMENT AND ASSESSMENT - Australian Standards, Local Govt policy and Commonwealth and NT Government guidelines - Procurement of goods and services in accordance with Council Contract Management System CM01 - Training of staff in Council's Contract Management System - manage electronic tender processes - Preparation of tenders - Tender assessment processes - Electronic tender system - debriefing unsuccessful tenders	88. Failure to ensure tendering is managed under an approved policy and in accordance with the Local Government Act - Inconsistency in tender & contract practises - Breach of LGA - Failure to provide value for money - Failure to address local content policy requirements - Potential for allegations of favouritism - Reputation risk - Negative media reporting	2	4	H	- Council has a dedicated Contracts Administration Section and staff are trained and experienced in relation to the procurement processes required under the Local Government Act	1	3	L					Contracts Officer	
PROVIDE ADVICE & GUIDANCE TO OTHER BUSINESS UNITS ON ADMINISTRATION OF CONTRACTS - reviewing and resolving contract disputes - contractor payment requests - Review payments in accordance with the schedule of rates - Monitor and manage insurance conditions	89. Failure to ensure all staff are trained and supported in a manner that promotes consistency of procurement practices and adherence to procurement policy - Inconsistency in procurement practises - Failure to follow policies and procedures - Failure to monitor and review working files - Manipulation of tender thresholds - Reputation risk	2	3	M	- Council has a dedicated Contracts Administration Section who are adequately trained and experienced in the requirements of the LGA	1	3	L					Contracts Officer	
ADMINISTER AND MONITOR CONTRACTS TO MINIMISE COUNCIL'S RISK EXPOSURE	90. Failure to ensure conditions of contracts are adhered to - Inadequate insurance provisions met - Failure to meet and adhere to WHS requirements - Failure to identify and report non-conformance issues	3	3	H	- Contract superintendents and superintendent representatives are assigned against contract works	2	3	M						

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL			TREATMENT PLANS (and control improvements)			RISK OWNER
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
FINANCIAL SERVICES – PAYABLES ACCOUNTING (Accounts Payable)											
MANAGE AND MONITOR COUNCIL’S ACCOUNTS PAYABLE PROCESSES IN ACCORDANCE WITH COUNCIL’S PROCUREMENT FRAMEWORK - procurement of goods and services - ensure invoices for payment are processed in accordance with policy - verification of supplier invoices - verification of authorisation for purchase - FBT / BAS coding - cost codes - compliance with procurement guidelines - processing for payment authorisation - manage creditors	91. Failure develop and adhere to approved procurement policy and processes - unauthorised purchases - fraudulent transactions - reputation risk	3	3	H	- Procurement policy and guidelines has been developed - Financial and procurement delegations in place and reviewed annually - 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 and 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 - Control Self-assessment in place	2	3	M	CSA	- internal audit undertaken January 2013 identified control weaknesses – amended risk rankings applied – now revised back to medium following implementation of remedial actions per audit recommendations	Payables Accountant
	92. Failure to ensure separation of duties for accounts payable processes - Failure to verify invoices prior to payment - Unauthorised purchase - Fraudulent purchase - Duplicated payments - Expenditure outside of delegations - Expenditure assigned to incorrect cost codes - Reputation risk	3	3	H	- 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 - Control Self-assessment in place	2	3	L	CSA	- internal audit undertaken January 2013 identified control weaknesses – amended risk rankings applied – now revised back to medium following implementation of remedial actions per audit recommendations	
	93. Failure to undertake regular reconciliation of creditors	2	3	M	- The Accounts Payable supervisor checks that the Creditors Trial Balance reconciles to the GL on a monthly basis and the Financial Accountant signs the reconciliation - Control Self-assessment in place	1	2	L	CSA		
	94. Failure to manage access to creditors master file	2	3	M	- 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 - Control Self-assessment in place	1	2	L	CSA		

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)		INTERNAL CONTROL			L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)	RISK OWNER
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												
FINANCIAL SERVICES – PAYABLES ACCOUNTING (Accounts Payable)												
MANAGE AND MONITOR COUNCIL'S ACCOUNTS PAYABLE PROCESSES IN ACCORDANCE WITH COUNCIL'S PROCUREMENT FRAMEWORK - manage EFT payments - management of corporate credit cards - application and approval processes - register of cards on issue - purchase limits - card limits	95. Failure to manage and control EFT payments and reconcile to accounting systems	2	3	M	- Management Accountant, Financial Accountant or Finance Manager checks the creditor invoices to be paid against the EFT Payment Preview report generated from AUTHORITY and signs the report. - The payment file is uploaded into Commbiz and a report is generated showing the total of the payments to be made. - The Commbiz payments are required to be electronically authorised by two officers who check the Commbiz report against the Payment Preview report and sign both reports - Payments authorised on Commbiz are confirmed as 'authorised' by the Finance Officer and checked against the bank statement the next day - The Management Accountant, Financial Accountant or Finance Manager checks that the supporting documentation matches the cheque remittance advice then signs the cheque. - The Management Accountant, Financial Accountant or Finance Manager checks the creditor cheques to be drawn against the Cheque Payment Preview report generated from AUTHORITY and signs the report - Copies of cheques with the CEO's signature only are retained - Control Self-assessment in place	1	2	L	CSA			Payables Accountant
96. Deficiencies in systems to manage credit card purchases - Failure to maintain credit card register - Credit card limits not aligned to operational needs - Invoices not reconciled to statements - Understatement of expenses - Non-compliance with Credit Card policy	2	3	M	- Credit card policy and procedures developed and approved by ELT - Credit card register implemented and managed by Financial Services - Credit card limits are recommended by Managers/Team Leaders and approved by GMs - Credit cards set with limits on transaction amounts and total monthly expenditure - Expenditure against card limits monitored regularly by Financial Services - If a tax invoice or receipt has not been obtained, a statutory declaration must be completed in lieu - The cardholder is required to match the invoices or receipts with the credit card statement on a monthly basis - The CEO's credit card statement is signed by a General Manager - Monthly card statements are signed by the employee and their supervisor before being submitted to Finance for processing - Control Self-assessment in place	1	2	L					

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)		INTERNAL CONTROL			L	C	RR	AUDIT OR CSA	TREATMENT PLANS (and control improvements)	RISK OWNER
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												
FINANCIAL SERVICES – PAYABLES ACCOUNTING (Taxation)												
ENSURE THAT ALL TAXATION OBLIGATIONS ARE MET - Fringe Benefits Tax Return preparation and lodgement - Vehicle use - Entertainment expenses - Business Activity Statement preparation (GST) - Payroll tax return preparation - Income Tax return preparation and lodgement	97. Incorrect treatment of transactions with FBT and GST implications - Erroneous claims and payments in FBT returns or BAS - Attraction of penalties from ATO - ATO audit alert risk	2	3	M	- Staff 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 City of Darwin 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 spreadsheet called 'BAS Authority v6 (universal).xls'. - 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	1	2	L	CSA		Payables Accountant	
		1	3	L	1	2	L					
		3	3	H	2	3	M					
	98. Failure to meet lodgement and reporting deadlines ATO charges penalty	1	3	L	- Staff preparing Business Activity Statements are given appropriate training - Financial Accountant signs off on BAS before submission - Control Self-assessment in place	1	2	L				
	99. Vehicle log books not maintained for home garaging - FBT implications for employees not identified and communicated - Erroneous claims and payments in FBT returns or BAS - Attraction of penalties from ATO - Financial implications from lack of record keeping	3	3	H	- Motor vehicle policy requires log books to be kept - Log books are used to update the plant system and are followed up monthly - Log book entries are reviewed for accuracy - Yearly declarations are completed by staff who obtained a motor vehicle benefit during the FBT year confirming the benefit was received - Control Self-assessment in place	2	3	M				

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL			TREATMENT PLANS (and control improvements)			RISK OWNER	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER												
FINANCIAL SERVICES – PAYABLES ACCOUNTING (Payroll)												
MANAGE PAYROLL SERVICES - Payroll procedure manuals - Pay entitlements under Awards and Certified Agreement - Month end procedures - Reconciliations to General Ledger - Reconcile leave balances - weekly payroll for Council - accuracy of Master File details - superannuation payments and entitlements, including salary sacrificing - statistical and other management reports	100.	Failure to maintain an accurate data base of employees	3	3	H	- Approved documentation supporting the employee's appointment is received from HR prior to adding the employee to the Payroll Master File. - A system-generated report called the 'Payroll Maintenance Changes Report' detailing all changes made to the Master File that day is provided to management by IT, daily - Letter of resignation and approved checklist (for all City of Darwin property returned) is emailed from HR to Payroll prior to terminations being input into AUTHORITY which occurs on a monthly basis - A 'Movement Report' showing staff who have commenced, changed and been terminated is generated monthly from AUTHORITY and agreed against supporting paperwork received from HR - Control Self-assessment in place	2	2	M	CSA		
	101.	Failure to manage payroll, allowances and superannuation entitlements	2	3	M	- Approved documentation supporting the employee deductions, allowances, changes to personal details (district allowance, social club) is received from HR prior to changes being made to Payroll Master File. - Management approves the daily system generated 'Payroll Maintenance Changes Report' provided by IT. - A system-generated report highlights persons due for salary increment through an EBA increment (Sep annually only) or natural salary increment or EBA/Mercer report for contractors. - Financial Accountant checks the 'Payroll Maintenance Changes Report' is in line with the 'pay scales report' prior to forwarding to HR. - Calculation of salaries is approved by Management. - Higher Duties' forms are approved by an officer with delegated authority. - Employee's supervisor checks timesheets against the 'Payroll Edit Listing' and approves the listing. - Leave forms are approved by an officer with delegated authority - previous month's contributions are matched to the GL History in AUTHORITY prior to the cheque requisition being issued - The Financial Accountant checks that the cheque requisition and the super requisition match and are both correct - Control Self-assessment in place	1	1	L	CSA		
	102.	Failure to obtain payroll authorisation paperwork	1	3	L	- Documented policy and procedures in place to manage changes to payroll system - Policy and procedures, including authorisation requirements, in place for payroll adjustments - Payroll adjustments verified against awards - Control Self-assessment review in place	1	2	L	CSA		

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL			TREATMENT PLANS (and control improvements)			RISK OWNER
	L	C	AR	L	C	RR	L	C	RR	AUDIT OR CSA
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER										

FINANCIAL SERVICES – ASSET ACCOUNTING													
DEVELOP AND IMPLEMENT ASSET MANAGEMENT PROCESSES AS THEY RELATE TO COUNCIL'S FIXED ASSET REGISTER AND ASSETS MANAGEMENT DATABASE - Development of policies and procedures for asset management - Long term capital works planning - Annual capital budget planning - Management of assets data base - asset records through the Authority Assets module and AIM Asset database - Assets reporting procedures - Acquisitions and disposals of assets - Revaluation and depreciation - Reconciliation to general ledger - Portable & attractive items register - Accounting and reporting for fleet	103. Council does not have appropriate policies and procedures for asset management - Capitalisation of non-capital assets - Capitalisation of assets that do not fall under the accounting framework's 'definition of an asset' if : i) They are less than the \$5,000 threshold ii) No future economic benefits flow to Council iii) They are not controlled by Council - Work in progress and carry forwards cannot be ascertained - Operating and capital expenditure cannot be separated - Asset revaluations will not occur in a timely manner	2	4	H	- Approved documentation available outlining Council's policies and procedures for capitalisation - Definitions of an asset and capital expenditure are outlined in the Corporate Asset Management Plan - Work in progress spreadsheet is updated and maintained by the Asset Accountant to ascertain what projects need to be carried into the next financial year - Carry Forwards are recognised in the Capital Works spreadsheet - Operating and Capital expenditures can be separated based on the definition of an asset. - Policies and procedures in place to identify the time frames in which revaluations need to occur	1	4	M	CSA				
	104. Council does not have an approved policy to manage asset acquisitions and disposals - Assets are acquired and disposed of without approval - Asset register will not reflect what Council owns - Non accountability of lost, stolen or misplaced assets - Misrepresentation of non-current assets in the balance sheet - Misrepresentation of depreciated values	2	4	H	- Approved asset registration (asset packs) and disposal forms require sign off from Departmental managers as well as the General manager - Assets are registered in Authority based upon registration forms received - Assets are disposed of in Authority based upon disposal forms received - Work Orders can only be closed after an asset pack is received - Lost, stolen and misplaced assets are written off immediately - Asset forms contain information which the asset accountant can use to calculate accurate depreciation schedules	1	4	M	CSA				
	105. Failure to undertake long term capital works planning -	2	4	H									
	106. Failure to ensure correct rates of depreciation are applied to correct asset classes as per taxation guidelines - Incorrect estimate of the useful life of an asset - A residual value has not been estimated - Profit or loss on sale of an asset will be calculated incorrectly - Income statement will be affected.	2	4	H	- Asset forms contain information through which the asset accountant can calculate accurate depreciation schedules, residual values and estimate a profit or loss on the sale of an asset. - Depreciation schedules are reviewed by Manager Finance	1	4	M	CSA				
	107. Council does not develop and maintain a register of portable & attractive items - Theft or misappropriation of council property - Acquisition of assets that are not considered portable or attractive - Unauthorised acquisitions and disposals - Misrepresentation of current assets in the balance sheet - Traceability issue.	3	1	L	- Portable & attractive items registered developed and maintained by Finance Officer - Registration and disposal forms are reviewed by asset accountant and recorded by Finance Officer as and when assets are acquired or disposed - Asset labels are assigned to each portable asset thereby establishing a trace - Policies and procedures in place to recognise portable assets	2	1	L	CSA				

ATTACHMENT C

INFRASTRUCTURE MAINTENANCE – OPERATIONS GENERAL	2
INFRASTRUCTURE MAINTENANCE – PARKS & RESERVES (MANAGE EXTERNAL CONTRACTORS)	3
INFRASTRUCTURE MAINTENANCE – PARKS & RESERVES (CHEMICAL USE)	3
INFRASTRUCTURE MAINTENANCE – PARKS & RESERVES (PARKS, UFM & IRRIGATION)	4
INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (ROADWAYS and PATHWAYS)	5
INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (STORMWATER DRAINAGE MAINTENANCE)	5
INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (CLEANING SERVICES)	6
INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (WORK ZONE TRAFFIC MANAGEMENT)	6
INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (BUILDING SERVICES)	7
INFRASTRUCTURE – DESIGN & PROJECTS (DESIGN)	8
INFRASTRUCTURE – DESIGN & PLANNING (DEVELOPMENT & PERMITS)	9
INFRASTRUCTURE – CAPITAL WORKS PROJECTS	10
INFRASTRUCTURE – TECHNICAL SERVICES (ASSETS)	11
INFRASTRUCTURE – TECHNICAL SERVICES (WASTE MANAGEMENT)	12
INFRASTRUCTURE – TECHNICAL SERVICES (SHOAL BAY WASTE MANAGEMENT FACILITY)	13
INFRASTRUCTURE – TECHNICAL SERVICES (SHOAL BAY WASTE MANAGEMENT FACILITY)	14
INFRASTRUCTURE – TECHNICAL SERVICES (FLEET & WORKSHOP)	15

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and potential control improvements)			TREATMENT PLAN			RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
INFRASTRUCTURE MAINTENANCE – OPERATIONS GENERAL											
MANAGE AND PROVIDE ADMINISTRATION FOR THE CITY OF DARWIN OPERATIONS CENTRE - Records management - Compliance with legislation and standards - Employee timesheets - Document management - Communications Management	1. Failure to ensure timesheets for staff are verified for accuracy - Inaccuracies in timesheets - Overpaid/underpaid salaries and allowances	2	3	M	- Staff members required to sign timesheets attesting to accuracy - City Works Team Leaders review and sign off on their timesheets - IM Admin Officer checks timesheets for Parks Teams - Information is entered into payroll system and independently checked by a staff member in Finance - Timesheet reports are run and anomalies are verified by Financial Accountant - Control self-assessment in place	1	2	L			
		3	3	H	- All new staff undergo mandated training in EDRMS procedures - Use of EDRMS for records management is mandated by City of Darwin - EDRMS reports are available to verify the numbers of records entered by individual employees which allows checks to be undertaken on the level of use of EDRMS	2	3	M	- audit of EDRMS and review of document management procedures undertaken in 2014 and a program of change management is being developed in conjunction with the implementation of a new version of EDRMS in 2015-16		
		2	3	M	- Dedicated communications officer employed - Back-up staff available as several IM staff are familiar with use of communications equipment - Alternate communication methods available through mobile telephones - Back up communication may be available through Regulatory Services communications system	1	2	L			
		2	4	H	-						
COORDINATE COUNCIL’S EMERGENCY RESPONSE PLAN INCLUDING THE CYCLONE PLAN	4. Failure to prepare and maintain Emergency/Cyclone plans	2	4	H	-						
MAINTAIN BUSINESS CONTINUITY PLANS TO ENSURE COUNCIL’S RESILIENCE TO BUSINESS INTERRUPTION AND DISASTER EVENTS	5. Failure to identify and agree what are the essential business functions of the organisation - Failure to prepare continuity plans for essential functions - Lack of engagement and ownership by managers of essential functions - Failure to regularly revise and test BC Plans	3	4	E	- Business continuity plans developed for key Infrastructure Maintenance operations in conjunction with TC Risk Audit & Safety - New version of BC software installed October 2014	2	3	M	- BC plans to be revised in 2015 and tested during annual cyclone preparedness exercises		
	6. Failure to prepare and maintain BC plans				-						
	MANAGE COUNCIL STORES ▪ Administer supply agreements, acquisition of stores, negotiating price variations and specification changes ▪ Supply of materials and equipment ▪ warehouse stock inventory ▪ monitor and review usage of stock holdings ▪ annual stock take ▪ Manage fuel supplies	7. Failure of inventory control and stores issuing systems - Inability to correctly account for stores movements and inventory - Inventory levels for essential items are depleted - theft or misappropriation of materials	2	3	M	- Authority inventory module implemented - Annual stock take undertaken - Annual write off process undertaken and must be authorised by the GM Corporate Services	1	3	L	CSA	
8. Contamination of fuel supplies - Inability to access fuel supplies - Additional expenses incurred from accessing commercial supplies		2	3	M	- fuel cards issued to all Civic Centre indoor staff with Council vehicles - fuel obtainable from commercial petrol stations - fuel cards held by Stores and can be issued in emergency situations - business continuity plans in place	2	1	L		Manager Finance	
9. Breakdown of fuel extraction systems - Inability to access fuel supplies - Additional expenses incurred from accessing commercial supplies		2	3	M	- fuel cards issued to all Civic Centre indoor staff with Council vehicles - fuel obtainable from commercial petrol stations - fuel cards held by Stores and can be issued in emergency situations - business continuity plans in place	2	1	L			

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN		RO	
		L	C	AR	L	C	RR	L	C				
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
INFRASTRUCTURE MAINTENANCE – PARKS & RESERVES (MANAGE EXTERNAL CONTRACTORS)													
CONTRACT AND CONTRACTOR MANAGEMENT - Litter bin clearing - Cycle way sweeping - Mowing Parks and Reserves - Road reseal programme - Building Maintenance and building management systems - CBD sweeping - Procurement processes - Conditions of contract		10. Failure to manage contractors effectively - Inability to sufficiently resource works - Failure to achieve VFM outcomes - Reputation risk - Using only one contractor for majority (or all) of work - Contractor fails to meet performance standards - Negative public comment - Negative media reporting		3	4	E	- Dedicated officer assigned to Parks Teams to manage the mowing contract and contractor supervision - Other contracts managed within individual teams - Contract Section (Corporate) has key personnel trained in contract management - Contractor performance reviews undertaken - Contractor management standard being developed to comply with WHS requirements and obligations - Site visits undertaken by contract superintendent or super's rep - All contracts required to include SLAs - Contract conditions (particularly scope and service levels) are reviewed and strengthened each time contracts are renewed - City of Darwin has the ability to vary contracts during their lifetime		2	3	M	- <i>finalise development and implementation of contractor management standard in compliance with WHS legislation</i>	Team Coordinator Risk Audit & Safety
INFRASTRUCTURE MAINTENANCE – PARKS & RESERVES (CHEMICAL USE)													
CHEMICAL USE AND STORAGE - Purchasing - Storage - MSDS - Safe usage procedures - Accident, spills and clean-up management - Assessment of chemical type and suitability - Staff chemical certification		11. Failure to develop and implement a chemical use policy and standards - Incorrect usage by workers - Health & safety implications - Public safety implications		2	4	H	- Chemical Use Standard and Chem's SOP developed by Technical Officer in conjunction with employees and approved and implemented - Standard and SOP reviewed annually as part of OHSMS review - Control self-assessment in place		1	3	L		Parks Operations Tech Officer
		12. Failure to develop and maintain chemical storage register - Failure to ensure chemicals stored in accordance with legislation - Failure to ensure MSDS register is maintained - Failure to ensure appropriate hazard signage is in place - Failure to meet legislative requirements - penalties applicable		2	4	H	- Chemical use Standard approved and implemented and revised annually - Dedicated chemical storage facility in use - Facility is banded and secured and inspected regularly - Hazchem signage installed and reviewed regularly through OHS inspections - Spill management kits supplied - Decontamination showers installed - SDS library maintained and reviewed regularly through ChemWatch - Control self-assessment in place		1	3	L		
		13. Failure to ensure staff are certified for use of chemicals - Not trained in safe usage procedures - deficiencies in spill management processes - deficiencies in management of contamination incidents		2	4	H	- Chemical Use Standard and SOP approved and implemented – sets out training requirements and PPE for staff using chemicals - Chemical use training is provided to all staff using scheduled chemicals - Chem use refresher training provided - Chemical Use Register in place - SDSs provided for all chemicals and maintained through ChemWatch - Chemicals are reviewed and tested by Parks Technical Officer before being approved for use - Spill management kits supplied - Decontamination showers installed at storage facilities		1	3	L		

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN		RO
	L	C	AR		L	C	RR				
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											

INFRASTRUCTURE MAINTENANCE – PARKS & RESERVES (PARKS, UFM & IRRIGATION)												
MAINTAIN COUNCIL'S PARKS, RESERVES AND SPORTING FIELDS IN ACCORDANCE WITH ASSET MANAGEMENT PLANS AND SERVICE STANDARDS - Urban forest management - Regular health inspections for trees - Tree maintenance program - Management of “risky” trees - Management of heritage trees and trees of significance - Provision of technical advice - Manage parks precincts - maintenance and development of parks - horticultural maintenance - landscaping - fencing - Playground infrastructure - Quarterly safety inspections - Amenities and aesthetics - Heritage trees - Manage natural areas - East Point - Walking tracks - Mangrove boardwalk - Management of natural vegetation - Protection of flora and fauna - Heritage trees - Manage litter, aesthetics and fire control - Carbon sequestration scheme - Manage Trees on Leased Property - tree inspection and management per Coroner's recommendations 2016	14. Failure to develop, implement and manage an ongoing comprehensive tree inspection and management plan - risky trees not identified and monitored - heritage trees and trees of significance not identified - failure to undertake rectification works in a timely manner - reputation risk – perception and expectations of ratepayers and the public regarding tree management programs - potential for injury to the public	2	4	H	- robust inspection and reporting processes in place - processes managed by a discrete trained and qualified UFM Team - tree inspection program reviewed 2013 to strengthen the process and include visual inspections and electronic recording and reporting - parks safety checklists completed every two months - Business continuity plans developed Dec 2011 and reviewed Dec 2014 - Control self-assessment in place	1	4	M	UFM Team Leader			
	15. Failure to develop, implement and manage a parks management program, including provision of infrastructure and service delivery standards - failure to meet agreed infrastructure and maintenance standards - reputation risk – conflict between City of Darwin parks standards and public perception of required levels of maintenance and infrastructure - Increased injury rate for sports players - Low community spirit - Reduced participation of community in sports	2	4	H	- robust inspection and reporting processes in place - processes managed by a discrete trained and qualified Parks Precinct Team and Turf Management Team - tree inspection program reviewed 2013 to strengthen the process and include visual inspections and electronic recording and reporting - parks safety checklists completed every two months - playground safety checklist completed every two months - mower operators inspect and report issues requiring attention - Recreation Officer in Regulatory Services monitors customer feedback - Business continuity plans developed Dec 2011 and reviewed Dec 2014 - Control self-assessment in place	1	4	M	Parks Precincts Team Leaders			
	16. Failure to develop, implement and manage a natural areas management program, including provision of infrastructure and service delivery standards - failure to meet agreed infrastructure and maintenance standards - reputation risk – conflict between City of Darwin natural areas management standards and public perception of required levels of maintenance and infrastructure - Reduction of bio diversity - Reduction of amenity - Reduction of passive recreation - Poor image/reputation	2	4	H	- robust inspection and reporting processes in place - tree inspection program reviewed 2013 to strengthen the process and include visual inspections and electronic recording and reporting - processes managed by a discrete team trained and qualified in conservation and land management - liaison undertaken with advocacy groups (Greening Australia, Larrakia Rangers and conservation volunteers) - management plans are being developed specifically for individual natural areas - Business continuity plans developed Dec 2011 and reviewed Dec 2014 - Control self-assessment in place	1	4	M	Parks Central Team Leader			
	17. Failure to implement a tree inspection and management program for trees on Council properties leased to third parties - Failure to address recommendations arising from the Coronial report into Gardens Park Golf Links 2016 - Legal actions - Political risks - Media reputation	3	5	E	- Existing tree inspection program in place for public areas	2	4	H	- ED Infrastructure and Manager Infrastructure Maintenance are developing an inspection program specifically for trees on leased property - ED Corp and Manager Business Services are implementing a review of all commercial leases to ensure that responsibilities for maintenance of trees on leased property are clearly set out in lease documents	Manager Infrastructure Maintenance		
MAINTAIN IRRIGATION SYSTEMS AND DELIVER SUSTAINABLE IRRIGATION PRACTICES FOR COUNCIL'S OPEN SPACES - Irrigation asset management - Median strip maintenance - Sporting grounds and associated infrastructure - Sport specific turf management	18. Failure to develop, implement and manage a turf and irrigation management program, including provision of infrastructure and service delivery standards - failure to meet agreed infrastructure and maintenance standards - failure to meet water conservation targets - Reduction of amenity - Reduction of passive recreation participation - Poor image/reputation risk	2	3	M	- robust inspection and reporting processes in place - processes managed by a discrete trained and qualified Team - Business continuity plans developed Dec 2011 and reviewed Dec 2014 - Control self-assessment in place	1	3	L	Irrigation & Turf Team Leader			
MAINTAIN FORESHORES UNDER COUNCIL'S CONTROL -	19. Failure to develop, implement and manage an ongoing comprehensive foreshore management plan - Erosion issues not addressed - Safety and amenity issues not managed - Community dissatisfaction - Negative media reporting	3	4	H	- Foreshore management plans being developed for the Nightcliff and East Point precincts - Budget allocations made for erosion management	2	4	H				
MANAGEMENT OF CEMETERIES - Heritage site management and protection	20. Failure to maintain cemetery grounds and interment records - Loss of essential connection with community - Reputation & litigation risk	2	3	M	- Infrastructure Maintenance Section employs a specific officer to manage cemeteries and records - Standard record management controls in place through EDRMS - Business continuity plans developed - Control self-assessment in place	1	3	L				
									62			

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN		RO
	L	C	AR	RR	L	C	RR				
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											

INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (ROADWAYS and PATHWAYS)										
MANAGE THE CONSTRUCTION AND MAINTENANCE OF ROADS, PATHWAYS, DRIVEWAYS AND KERBING ASSETS ACROSS THE MUNICIPALITY - Maintain roads in accordance with Asset Management Plans - Undertaken routine and preventative maintenance - Manage and maintain line marking and signage to all roads in accordance with recognised asset management practices - Monitor the condition of footpaths, driveways, shared paths and walkways throughout the Municipality - Maintain line marking - Install and maintain road signage	21. Failure to plan, budget and implement a sound asset management program - Poor financial management - Condition of assets deteriorates - Increased maintenance / replacement costs	2	4	H	- 10 year capital works program developed including scheduled maintenance programs - Currently progressing to a 3 year works plan - Rigorous annual budget development and review processes in place - Infrastructure Maintenance staff actively involved in budget development	2	3	M	- need to ensure budget management is intrinsically linked to the asset management system so that we are able to collect more accurate data on all works expenditure and develop a better profile of cyclical and preventative maintenance - implementation of asset sustainability review - recommendations will ensure policies, standards and procedures are developed and monitored	Team Leader Roads and TL Concrete
	22. Civil Works not conducted to approved standards - Substandard works - Safety and reliability issues - Potential on-going hazard impacting on the public - Unnecessary public liability claims - Financial impact - Sustained negative media reporting	2	4	H	- works plans reference Australian and other applicable standards - hierarchy of approval for works plans is in place - City Works Team Coordinator required to hold engineering and civil construction qualifications - Works undertaken by contractors under the Minor Civil Works contract are subject to compliance inspections and sign-off processes - Major civil works contracts include default and rectification periods	1	3	L	-	
	23. Failure to ensure that asset rectification works are carried out in a timely manner - Council relies heavily on problems being reported by third parties in a timely manner - Safety and reliability issues - Potential on-going hazard impacting on the public - Unnecessary public liability claims - Sustained negative media reporting	3	4	E	- Council implemented mobile phone application “See-Click-Fix” in 2014 to enable the public to report issues promptly - Formal inspection processes for assets are undertaken over 4 year period - Officers undertake visual inspections whilst on duty and report any potential developing issues - Identified issues are logged as CARRs and actioned with priority - Strong OHS culture exists – requirement to report issues promptly is generally acknowledged	2	3	M	-	
	24. Failure to ensure that Council asset information is maintained on applicable data bases (AssetFinda, MapInfo, EDMs) - Inability to access current asset information - Loss of corporate knowledge - Compromised works programs	3	4	E	- New asset management system implemented 2015 - I-pad qaccess to ensure ease of loading and timeliness of processing GIS information - Dedicated GIS Officer within IT Services to assist Tech Services Staff	2	3	M	- new asset management system being implemented 2015-16	

INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (STORMWATER DRAINAGE MAINTENANCE)									
MANAGE AND MAINTAIN COUNCIL'S STORMWATER DRAINAGE INFRASTRUCTURE IN ACCORDANCE WITH ASSET MANAGEMENT PLANS - New stormwater infrastructure - Manage existing assets - Acceptance of new assets from subdivision development	25. Failure to plan, budget and implement stormwater drainage management program -	2	4	H	- Stormwater upgrade plans in place - Stormwater inspection program in place - Budget allocation for stormwater asset management - Sign off processes in place for acceptance of new infrastructure from developers	2	3	M	
UNDERTAKE MOSQUITO CONTROL SPRAYING IN STORMWATER DRAINAGE INFRASTRUCTURE IN THE MUNICIPALITY AS REQUIRED	26. Failure to carry out drain maintenance in accordance with approved plans - Uncontrolled breeding of biting insects - Potential public health impact - Negative public and media reaction - Chemical spillage/drift - Potential environmental impact - Potential public health impact - Negative public and media reaction	2	3	M	- NTG Entomology prepares mosquito control plans and conduct post spray inspections - Chemicals used in mosquito control are non-toxic	1	3	L	
INSTALLATION AND MANAGEMENT OF GROSS POLLUTANT TRAPS - Survey potential locations - Design and installation - Clearing and maintenance undertaken by Infrastructure Maintenance	27. Deficiencies in pollution management planning - Failure to meet City of Darwin Environmental Management outcomes as set out in strategic plans and environmental management plans - Inability to manage and service 'inherited' infrastructure (Muirhead) - Poor perception by the Community	3	3	H	- Current budget item in capital works program for installation of new GPTs - Annual program undertaken by Capital Works - Need to ensure City of Darwin has developed a comprehensive program for assessment of potential GPT locations (currently have a draft GPT plan developed by Environment Section circa 2008) - GPT Maintenance Plan is delivered by Infrastructure Maintenance section	2	2	M	ORA found good controls in place, however discussion needs to be held with Manager Environment to confirm GPT planning procedures and environmental targets ADDRESS THROUGH REVIEW OF AND IMPLEMENTATION OF REVISED GPT MANAGEMENT PLAN
Team Leader Roads and TL Concrete									

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN		RO
	L	C	AR	L	C	RR	L	C			
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											

INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (CLEANING SERVICES)									
CONDUCT PATH AND STREET SWEEPING, AMENITIES SERVICING, LITTER COLLECTION AND REMOVAL - Street sweeping - Maintenance of toilets and bbq facilities - Rubbish and recycling bins - Shopping centre external sweeping and cleaning	28. Failure to develop and implement a litter management program - failure to meet agreed service delivery standards - reputation risk – conflict between public perception of required levels of service versus City of Darwin documented standards - Increased pollution - Increased vermin - Negative feedback from ratepayers and the public - Sustained negative media reporting	2	3	M	- City of Darwin undertakes litter management surveys - Customer feedback results considered in development of service standards - Business continuity plans developed Dec 2011 and reviewed Dec 2014 - Control self-assessment in place	1	3	L	Team Leader Cleaning Services
	29. Failure to develop and implement a street and precinct cleaning management program - failure to meet agreed service delivery standards - reputation risk – conflict between public perception of required facilities and levels of service versus City of Darwin documented standards - Increased pollution - Increased vermin - Negative feedback from ratepayers and the public - Sustained negative media reporting	2	3	M	- Comprehensive cleaning program in place, including service delivery standards - Customer feedback results considered in development of service standards - Business continuity plans developed Dec 2011 and reviewed Dec 2014	1	3	L	
	INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (WORK ZONE TRAFFIC MANAGEMENT)								
DEVELOP TRAFFIC MANAGEMENT PLANS (AND REVIEW THIRD PARTY PLANS) - Generic and specific management plan - Manage resources - Compliance with legislation and standards - Health and safety management - Reliance on limited numbers if qualified staff	30. Failure to ensure traffic management for works undertaken in and around Council's road network are managed appropriately - Permit system not complied with - Failing to provide safe road/cycle/pedestrian networks - Reliance on one key staff member to develop traffic management plans - Media and reputation risk - Litigation risk	2	5	E	- Infrastructure Maintenance Section employs a trained officer who is responsible for traffic management planning - Permits Officer reviews plans lodged by external contractors - Strong safety culture exists within the organisation and IM staff are aware of their safety responsibilities for traffic management - The majority of Infrastructure Maintenance staff have been provided with training and hold traffic management qualifications - On-site inspections undertaken regularly - Business continuity plans developed 12/2011 and reviewed 11/2014	1	4	M	Workzone Traffic Officer

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN			RO		
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER															
INFRASTRUCTURE MAINTENANCE – CIVIL INFRASTRUCTURE (BUILDING SERVICES)															
DELIVER BUILDING MAINTENANCE SERVICES FOR COUNCIL BUILDINGS IN ACCORDANCE WITH ASSET MANAGEMENT PLANS AND SERVICE STANDARDS - Conduct Council's building inspection program - Maintain compliance with all Building Regulations for Council owned buildings - Undertake scheduled preventative maintenance programs to Council buildings and assets in accordance with Australian Standards - Undertake refurbishment and capital works programs to Council owned buildings - Undertake urgent minor repairs and maintenance on all Council owned buildings and facilities	31. Failure to plan, budget and implement a robust building maintenance program - Reliance on redundant asset management system - Poor financial management - Condition of assets deteriorates - Increased maintenance / replacement costs	2	3	M	-	Preventative maintenance program in place and reviewed annually	2	3	M	- ongoing development of the asset management system including budget allocation process - review or expand upon the existing work order system to more accurately capture data on works program expenditure and allow better budgetary processes - implementation of asset sustainability review recommendations will ensure policies, standards and procedures are developed and monitored				Team Leader Building Services	
	32. Failure to undertake building maintenance in accordance with the approved program and to Australian Standards - degradation of facilities - health risk from air-conditioning cooling tower sanitation - safety risk from malfunctioning fire panels - safety risk from poorly maintained electrical systems - safety risk from failure of CCTV	2	4	H	-	All maintenance undertaken in accordance with applicable standards	1	3	L						
	33. Need for urgent building repairs is not communicated to Council staff in a timely manner - Repairs not able to be carried out promptly - Potential for injury to staff and the public - Public liability and WC claims - Additional insurance premiums	2	4	H	-	Regular inspection program in place for public facilities Issues identified on inspection reports are rectified according to the identified levels of safety and urgency Other matters are dependent upon notification by members of the public Tracking the responsiveness of Council to reported issues is managed through Customer Action Requests Business continuity plans developed Dec 2011 and reviewed Dec 2014	1	4	M	Risk is outside of Council control to a certain extent – some matters rely on reporting by members of the public					
	PROVIDE GRAFFITI REMOVAL SERVICES - Council owned buildings - Graffiti services to NTG under SLA	34. Failure to maintain a graffiti removal program - ensure timely removal of graffiti - Community dissatisfaction - Negative media reporting	3	3	M	-	Customer action requests in place and tracked through EDRMS Regular building inspections Reporting by other Council infrastructure sections	1	2	L					Team Leader Building Services
	UNDERTAKE ASBESTOS INSPECTIONS AND MAINTAIN THE ASBESTOS REGISTER - Annually for Council buildings - As required for public areas under council control	35. Failure to maintain Asbestos registers - Dangerous Buildings - Increased risk to public/staff - Litigation - Failure to proactively manage the risk from hazardous material	2	4	H	-	Asbestos register is maintained for known and reported sites Register reviewed and updated regularly Ongoing inspection programs in place Control self-assessment in place	1	4	M					Team Leader Building Services
MANAGE CLEANING SERVICES FOR THE CIVIC CENTRE - Civic Centre and City Library	36. Failure to meet approved building cleaning standards - health & morale impacts on staff - reputation risk - poor image portrayed to the public	2	2	M	-	internal staff used for cleaning at Civic Centre Business continuity plans developed Dec 2011 and reviewed Dec 2014 Control self-assessment in place	1	2	L					Team Leader Building Services	

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN			RO	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														
INFRASTRUCTURE – DESIGN & PROJECTS (DESIGN)														
UNDERTAKE DESIGN FOR COUNCIL'S ANNUAL CAPITAL WORKS PROGRAM INCLUDING ROADS, PAVEMENTS AND STORMWATER DESIGN PROVIDE TECHNICAL DOCUMENTATION FOR CONSTRUCTION PROJECTS COORDINATE DESIGN FOR COUNCIL'S ANNUAL BLACK SPOT PROGRAM AND LOCAL AREA TRAFFIC MANAGEMENT FUNDING PROGRAM DELIVER RESEAL AND TRAFFIC SIGNAL PROGRAMS UNDERTAKE STORMWATER DRAINAGE STUDIES AND FUTURE UPGRADE PROPOSALS UNDERTAKE TRAFFIC MANAGEMENT INVESTIGATIONS AND FORMULATE RESPONSES	37. Failure to complete design on time	2	3	M	- Dedicated qualified design team - Able to access the services of external design consultants - Capital works management spreadsheet to control milestones - Regular design team and team leader meetings held to review delivery of services - Control self-assessment in place	1	3	L						
	38. Failure to consult with stakeholders during design process	2	3	M	- Robust systems in place to ensure consultation is undertaken with stakeholders - Project management plans include need to stakeholder identification and communication planning - Control self-assessment in place	1	2	L						
	39. Failure to meet appropriate design standards	1	4	M	- City of Darwin has corporate membership to SAI Global - data base is maintained of relevant Australian and International Standards - standards available on-line for design team - standards are referenced in design plans - multiple review process in place - Control self-assessment in place	1	3	M						
	40. Failure to process annual submission for LATM and Black Spot funding	2	5	E	- dedicated officer responsible for applications for funding - annual funding timetable developed - notification of funding availability from Federal Government - control self-assessment in place	1	5	H	ORA found good controls in place THIS IS MANAGED THROUGH OFFICE OF CHIEF EXECUTIVE					Design Team Leader
	41. Failure to undertake adequate traffic management investigations	3	3	H	- documented processes in place for traffic management investigations including proforma checklist - regular traffic counts are undertaken - spreadsheet maintained to summarise all investigations - specialist traffic engineers engaged as required - Control self-assessment in place - correspondence tracker and internal EDRMS tasks lists used to manage and monitor correspondence - tasks assigned to specific officers - Control self-assessment in place	2	2	M						
	42. Failure to maintain traffic signal maintenance with NTG Dept of Construction & Infrastructure	3	4	E	- Signals on City of Darwin roads are managed by NTG Dept Construction & Infrastructure	3	3	H	-					

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and potential control improvements)			TREATMENT PLAN			RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
INFRASTRUCTURE – DESIGN & PLANNING (DEVELOPMENT & PERMITS)											
DEVELOP AND MAINTAIN DEVELOPER CONTRIBUTION PLANS IN ACCORDANCE WITH THE PLANNING ACT	43.						-				Team Leader Development
	DEVELOP AND MAINTAIN COUNCIL'S DEVELOPMENT POLICIES, STANDARDS, PROCEDURES and GUIDELINES	44.					-				Team Leader Development
INVESTIGATE AND PROVIDE TECHNICAL ADVICE ON CIVIL WORKS WITHIN COUNCIL PROPERTY	45. Failure of permit holders to fully inform City of Darwin as to the nature and scope of works being undertaken	3	3	H			- Guidelines for permit applications have been developed - Site inspections undertaken to confirm works comply with permit conditions - Final inspection at sign-off for larger projects - City of Darwin Regulatory Services have power to issue “cessation of works” notice - Control self-assessment in place	1	3	L	
	46. Reliance on limited number of qualified & experienced staff	3	3	H			- Training and development programs in place	3	3	H	Team Leader Development
	47. Failure to ensure a robust review process is undertaken for all development design works	3	4	E			- Internal and external stakeholder consultation is undertaken - Detailed guidelines have been prepared for development assessment based on Australian Standards, design codes and best practise guides - Applications for development need to meet all assessment guidelines - Development permit includes conditions that need to be addressed - Historical information regarding development sites is available to aid the approval process - Site inspections undertaken prior to development approval being signed off - Need to develop and document procedures for development assessment - Control self-assessment in place	1	4	M	
CERTIFY FINAL APPROVAL CERTIFICATES AND NT PLANNING AUTHORITY PERMIT CONDITIONS	48.						-				Team Leader Development

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN			RO	
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														
INFRASTRUCTURE – CAPITAL WORKS PROJECTS														
DEVELOP AND MAINTAIN THE CAPITAL WORKS BUDGET	49. Failure to develop a robust capital works program	3	3	H	- 10 year capital works program developed - Currently progressing to a 3 year works plan - Rigorous annual budget development and review processes in place - Infrastructure Maintenance staff actively involved in budget development - Work order system implemented for Parks Sections to ensure budget management is intrinsically linked to the asset management system so that we are able to collect more accurate data on all works expenditure and develop a better profile of cyclical and preventative maintenance	2	3	M					Manager Capital Works	
	50. Errors or omission in tender specifications and scope of works	2	4	H	- Hierarchy of documentation is in place - Officers trained in tender development and assessment - Reviews undertaken with external consultants where necessary	1	4	M						
	MANAGE DELIVERY OF COUNCIL’S CAPITAL WORKS PROGRAM	51. Failure to ensure robust project management processes are in place	2	4	H	- staff trained in project management practises - financial delegations included in Authority - multiple levels of review and approval are applied - InterPlan project management software implemented January 2012 to manage projects, key milestones and progress reporting - Project risk assessment included in Risk Management Standard approved by ELT July 2013 - Control self-assessment in place	1	3	L					Manager Capital Works
PROVIDE PROJECT MANAGEMENT SERVICES AND ADVICE	52. Failure to appropriately manage contractors	3	4	E	- staff trained in project management practises - Contractor performance reviews undertaken - Contractor management standard being developed to comply with WHS requirements and obligations - Daily site visits undertaken by site supervisor (officer who engaged contractor) – includes OHS audit and performance work audit	2	3	M						
	53. City of Darwin fails to proactively engage with mobility impaired advocacy groups in regards to provision of infrastructure and access/egress requirements	2	3	M	- All infrastructure amendments and developments are designed in accordance with existing Australian Standards - assessment and inclusion of mobility impaired access and egress requirements are a mandated stage in the development of any building or structure - City of Darwin has representation of the Disability Advisory Committee	1	3	L						
		54.				-								

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN			RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
INFRASTRUCTURE – TECHNICAL SERVICES (ASSETS)													
DEVELOP AND IMPLEMENT A CORPORATE ASSET MANAGEMENT STRATEGY AND MANAGEMENT PLANS FOR INFRASTRUCTURE ASSETS - asset management strategy - corporate asset management plan - Capital Works program and Long Term Financial Plans - cyclic asset revaluations - cyclic asset condition surveys - cyclic inspection programs - development and management of the Asset Management Systems (AMS) and the Geospatial Information System (GIS) - align financial and asset management practises	55. Failure to develop and promote asset management policies, standards and procedures - Failure to ensure a consistent approach to asset management is applied across Council - Loss of corporate asset knowledge - Failure to ensure asset management is undertaken in accordance with Australian and International Standards	4	4	E	- Asset Management Steering Group in place and continues to meet 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	2	4	H	- internal audit undertaken august 2014 to address and consolidate outstanding issues from previous reviews in 2009 and 2012. - new asset management systems being implemented during early 2015 to address current deficiencies in asset management and asset accounting systems	Manager Technical Services			
	56. Failure to develop and implement a robust infrastructure asset condition inspection program - Failure to identify the need for maintenance and upgrade work - Asset deterioration - Public safety risk - Reputation risk	2	5	E	- 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	1	4	M					
	57. Failure to ensure all assets are subject to three yearly revaluation - Incorrect asset valuation recorded in financials - Potential for misstatement of financial position	2	3	M	- 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	1	3	L					
	DEVELOP, IMPLEMENT AND MAINTAIN A CORPORATE ASSET REGISTER - Central repository of corporate asset data - Hold information for use by all staff and particularly data for use by the mapping, financial and works management systems. - Better management and storage of Corporate data - Improved asset management	58. Failure to develop, implement and maintain a corporate asset register - Inconsistent and fragmented approach to the collection and storage of asset information - Lack of data available to monitor the condition of assets - Inability to plan long and short term asset management programs - Inability to adequately budget for asset management - Inability to monitor and assess ratepayer and public demands for levels of service - Inability to monitor and assess actual levels of service delivery	3	4	E	- Asset Management Steering Group in place and continues to meet quarterly - Implementation of the corporate asset register is underway and will provide a central location for data storage	2	4	H	- internal audit undertaken august 2014 to address and consolidate outstanding issues from previous reviews in 2009 and 2012. - new asset management systems being implemented during early 2015 to address current deficiencies in asset management and asset accounting systems	Manager Technical Services		
59. Developers fail to provide contributed asset information, or do not provide information in the form required by Council - Failure to obtain and record contributed asset information from developers - Lack of accurate information available to ensure budgeting for and scheduling of ongoing maintenance / renewal of contributed assets - Asset deteriorates		3	4	E	- Asset handover procedures in place to ensure that Developers provide contributed asset information in the form required by Council as defined to the Subdivision Guidelines. - Additional procedures to be developed to strengthen handover procedures across all departments - Subdivision guideline management procedures to be updated	1	4	M					
60. Asset register software failure - Difficulty accessing asset information - Delays or gaps in asset management programs		2	3	M	- IT section provides support through dedicated GIS Officer - All registers are kept within alternate data bases to reduce impacts as a result of software failure	2	2	M					
UNDERTAKE CYCLIC CONDITION ASSESSMENTS, FOR CITY OF DARWIN ASSETS - assets are fit for purpose and are maintained at an agreed level of service	61. Failure to undertake cyclical condition inspections - Failure to develop and implement corporate and individual infrastructure asset management plans - failure to manage assets - assets deteriorate - additional rectification costs - safety and reputation risk	2	4	H	- participation in the IPWEA NAMS program to assist in the development of asset class Asset Management plans - corporate asset management plan reviewed annually - Implementation of asset sustainability review recommendations will ensure policies, standards and procedures are developed and monitored	2	4	H		Manager Technical Services			
	62. Failure to ensure renewal and replacement programs are adequately captured through capital works plans and condition/maintenance assessments	2	4	H	- Works are undertaken by Infrastructure Maintenance and Capital Works Teams								
DEVELOP AND MANAGE THE IMPLEMENTATION OF RENEWAL AND REPLACEMENT PROGRAM - assets are fit for purpose and are maintained at an agreed level of service													
STREET LIGHTING REPLACEMENT & MAINTENANCE - allocation of sufficient budget and physical resources - Identification of issues and responsibilities - Implement corrective action	63. Failure to maintain street lighting to national standards - Cumulative degradation of infrastructure - Increased number of safety related incidents - Congested traffic flow	3	4	E	- City of Darwin to assume responsibility for maintenance of street lights from 1 January 2018 - Resource for lighting maintenance allocated in new organisational structure from 1 July 2017	3	3	H	-	Manager Capital Works			

69

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and potential control improvements)			TREATMENT PLAN			RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
INFRASTRUCTURE – TECHNICAL SERVICES (WASTE MANAGEMENT)											
PLAN FOR AND MANAGE EFFECTIVE AND EFFICIENT WASTE COLLECTION AND RECYCLING SERVICES - Regular domestic waste collection operated by contractor - Regular recycling collection by contractor - Pre-cyclone hard rubbish collection by City of Darwin	64. Waste collection program and service standards are not aligned with community expectations - Negative comment from ratepayers and the media	3	3	H	- Council proactively engages with its ratepayers in the development of waste management and recycling programs - Council has prepared and published a waste management policy and is being revised - Customer feedback is monitored and reported quarterly to ELT - Community consultation processes being developed in conjunction with waste management policy to engage ratepayers when waste collection policies are reviewed/amended - Bin audit and domestic lane survey is being conducted to understand residents use of bins and Shoal Bay - Control self-assessment in place	1	3	L		Waste Management Coordinator	
	65. Waste collection contractor fails to meet service delivery standards - Missed services or collections - Negative comment from ratepayers and the media	2	4	H	- Contractor performance standards are set out in the engagement contract - Penalties for non-compliance or non-conformance are included in the contract - Council monitors contractor conformance and performance against contract conditions - Contractor reports monthly on performance statistics - Monthly performance meetings held with contractors - Additional services requested from contractors to meet missed runs - Business continuity plans developed Dec 2011 and reviewed Dec 2014 - Control self-assessment in place	1	3	L			
	66. Failure to inform and educate the public with regards to strategic and operational waste management issues - Unrealistic expectations of the public and commercial operators as to the operations of Shoal Bay Facility - Unacceptable waste items presented for disposal - Failure to embrace recycling initiatives - Failure to embrace green waste initiatives	3	3	H	- Education programs undertaken in schools and with the public by City of Darwin and the waste contractor - Information signage regarding acceptable and non-acceptable material in place on the access road - Recycling levels are monitored - Liaison with Environment Section to improve broader community education on recycling initiatives	2	3	M			
PLAN EFFECTIVELY FOR COUNCIL'S LONG TERM WASTE AND RECYCLING SERVICES	67. Waste and recycling programs do not meet the needs of a growing city				- Long term waste management strategy has been developed and presented to Council March 2015					Waste Management Coordinator	

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				TREATMENT PLAN			RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
INFRASTRUCTURE – TECHNICAL SERVICES (SHOAL BAY WASTE MANAGEMENT FACILITY)													
SHOAL BAY WASTE MANAGEMENT FACILITY CONTRACT AND CONTRACTOR MANAGEMENT	68. Failure by Council to adequate manage the SBWMF contract - Performance issues not addressed and managed - Non-conformance issues not addressed and managed - Environmental degradation issues - Legal action by EPA or others - Financial risk - Reputation risk	3	5	E	-								
	69. Failure of licensed contractor to meet contractual obligations - <i>Legacy contamination issues belong to City of Darwin – contractor did not assume responsibility for existing issues when contract was let</i> - Failure to meet national standards for operation of a waste facility - Reputation risk – ratepayers perception that Shoal Bay is Council operated - Potential for environmental impacts – ground water leaching, methane emissions - Reputation risk arising from environmental impacts	3	5	E	- <i>Contractor responsibility</i> - Performance standards and obligations are set out in the Federal and NT Legislation; the contract between City of Darwin and McMahon's; and the waste management facility license from NTG to McMahon's - Penalties for non-compliance included in contract - Contractor required to carry relevant insurance - contractor performance monitored through inspections and user feedback - NT EPA receives regular site monitoring reports against license conditions - leachates managed through installation of artificial liners - Independent water quality testing is undertaken at internal and external locations - Contract has been let for methane gas extractions - Business continuity plans developed Dec 2011 and reviewed Dec 2014	2	5	E	- <i>monitor and report through inspections and user feedback processes, EPA inspection reports</i>				
	70. Failure to manage the Recycling and Resource Recovery Facility				- <i>Contractor responsibility</i>							- <i>New contract currently being negotiated</i>	Waste Management Coordinator
	71. Inadequate traffic management measures at SBWMF - Poor directional signage - Failure to manage speed - Management movement of both domestic and commercial vehicles	3	4	E	- <i>Contractor responsibility</i> - SBWMF site master plan has been prepared in draft form - Currently looking investigating a site management plan spanning the next 10 – 20 years	3	4	H	- <i>continue development of waste management plan</i>				
	72. Public liability and OHS issues arising from operations of the site - Failure to supervise public activity whilst on-site - Trips and falls hazards - Unauthorised removal of items from tip face - Inadequate fire safety equipment	3	5	E	- <i>Contractor responsibility</i> - Independent audit report into Shoal Bay management and site operations was commissioned by Council and report received from Wastech April 2010 - OHS management procedures for its CoD staff and infrastructure - Contracted operator has their own OHS procedures - Contract conditions require the operator to maintain OHS procedures	2	4	H	- <i>consider implementation of new waste transfer mechanism that isolates the public and vehicles from herring bone site and waste transfer bins</i>				
	- Storage of waste not suitable for landfill (chemicals, oils, gas bottles, batteries) - <i>This is firstly an issue for the contractor as the licensee of the site</i> - <i>Secondly an issue for City of Darwin as the site lessee</i> - <i>There is limited ability to control what actually enters the facility unless we can inspect loads before accessing weighbridge</i> - Improper mix of chemical types in the storage area - Uncontrolled access to chemicals - Inadequate spill management procedures - Inadequate fire safety equipment	3	4	E	- <i>Contractor responsibility</i> - SBWF Operational procedures developed for weighbridge staff and is being updated May 2012 - Independent audit report into Shoal Bay management and site operations was commissioned by Council and report received from Wastech April 2010 - Education programs undertaken in schools and with the public by City of Darwin and the waste contractor - Information signage regarding acceptable and non-acceptable material in place at the entry gate - Contract operator (McMahon's) have a site management plan, chemical compatibility reference chart and a locked fire rated chemical cabinet - Contract operator has a spill management plan in place	2	4	H	- <i>consider development of a site storage policy</i>				

BUSINESS PROCESSES	CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and potential control improvements)			TREATMENT PLAN			RO
	L	C	AR	L	C	RR				
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER										

INFRASTRUCTURE – TECHNICAL SERVICES (SHOAL BAY WASTE MANAGEMENT FACILITY)											
MANAGE VEHICLE ENTRY AND TRAFFIC FLOW - Coordinate the daily operation of Council's weighbridge at the Shoal Bay Waste Management Facility to ensure that all acceptable waste materials entering the Landfill are recorded and accounted for	73. Lack of control at point of entry to Shoal Bay - There is limited ability to control what actually enters the facility unless we can inspect loads before accessing weighbridge - Failure to record numbers of users accessing facility - Financial costs associated with operations are recouped from ratepayers and users - Commercial users access residential users lane - Poor load monitoring capability - Inappropriate material accepted into the site	3	3	H	- SBWF Operational procedures developed for weighbridge staff and is being updated May 2012 - Independent audit report into Shoal Bay management and site operations was commissioned by Council and report received from Wastech April 2010 - Education programs undertaken in schools and with the public by City of Darwin and the waste contractor - Information signage regarding acceptable and non-acceptable material in place at the entry gate	2	3	M		- consider implementing load inspection processes	Waste Management Coordinator
WEIGHBRIDGE CASH RECEIPTING - Operate the Mandalay weighbridge computer system, including ticketing, receipting for commercial users, reporting and Access Tag programming and issuing	74. Failure to develop and monitor appropriate controls and procedures to receive and reconcile funds received from Shoal Bay Waste Facility - Misappropriation of monies - Reputation risk	3	3	H	- A detailed float procedure has been developed for weighbridge staff - Cash handling procedures in place - All weighbridge staff members have been instructed to count their float at the end of each shift before reconciling their banking - all staff to are to complete and sign a form which provides a register of all keys issued to staff and a statement that they understand they are responsible for handling monies and have been issued a float of \$200 - Staff on leave for more than one week at a time to hand back their keys and sign the register - Daily float and banking reconciliations are monitored by the Waste Management Officer - Combinations to the front security door and safe have been changed and procedures are in place to change combinations when staff leave employment at the weighbridge - A report of collections is generated from MANDALAY; 'End of Shift Summary' that lists the reconciled till balances and the operator then completes a Shoal Bay Waste Disposal banking form from this report - A check is undertaken that each operator's Shoal Bay Waste Disposal banking form reconciles back to the End of Shift Summary report and the checked reports and collections are sent to Customer Services for receipting - Customer Services attaches the receipt generated from AUTHORITY to the reports and returns the documentation to Environment Management who check that the collections have been receipted - A daily merchant report is received from the Commonwealth Bank listing all EFTPOS/credit card transactions for Shoal Bay and Finance reconciles the amount deposited at the bank to the merchant report received from the Commonwealth Bank - Armoured guards collect total takings in a sealed bag from weighbridge and issues a receipt and transports the bag to Customer Services who then notify Environment Management of its arrival - Control self-assessment in place	1	3	L	CSA		Waste Management Coordinator

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and potential control improvements)			L	C	RR	TREATMENT PLAN		RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
INFRASTRUCTURE – TECHNICAL SERVICES (FLEET & WORKSHOP)													
MANAGE AND IMPLEMENT COUNCIL’S ASSET MANAGEMENT STRATEGY FOR HEAVY AND LIGHT FLEET ▪ development of policies and procedures ▪ forward programs for replacement of plant and equipment ▪ technical specifications for new plant and assess tenders ▪ Plant and Fleet Management System ▪ operators are appropriately licensed and trained	75. Failure to ensure budget processes are adequate to support purchase and upgrade of the vehicle fleet - Inability to acquire requisite vehicles and plant - Inefficiency in operations - Staff disgruntlement - Reputation risk	2	3	M	- Structured budgetary process is in place to identify replacement requirements – this commences November each year - Reports generated from Authority identify plant requiring replacement (in date order) - Separate spreadsheet maintained for all items of plant showing replacement date based on recommended replacement cycles per type of plant (life span or kilometres travelled) - Multiple quotations obtained for replacement cost of plant - Trade in and market values obtained for plant being replaced - Control Self-assessment reviews in place	1	2	L	CSA			Manager Fleet	
	76. Failure to develop and implement robust procurement practices - Reputation risk arising from perceived flaws in procurement or favoured tenderers	2	3	M	- City of Darwin has issued procurement policy and guidelines - Financial and procurement delegations in place and reviewed annually by Financial Services - Robust tender assessment processes in place and documented - Fleet uses procurement checklist to monitor processes - Copies of procurement records retained by Fleet Manager, Finance and Data Works - Control Self-assessment reviews in place	1	2	L	CSA			Manager Fleet	
	77. Failure to ensure that fleet meets the operational requirements of Council - Inefficiency in operations - Staff disgruntlement - Replacement costs - Reputation risk	2	3	M	- Fleet Manager engages regularly with users to ensure that plant is suitable - Users able to initiate request for new or alternative plant - Three quote system in place for plant <\$100,000 - assessment of quotes undertaken but not formalised as per tenders - purchase justification remarks are included on purchasing memo on the purchase order	1	2	L				Manager Fleet	
	78. Failure to ensure that disposal processes are conducted under approved policy and procedures - Failure to achieve best possible value from sale or trade - Reputation risk arising from disposal of vehicles at below valuation	2	3	M	- Disposal processes are documented and approved - Fleet Manager investigates the most appropriate method of disposal to ensure best return (Red Book value, trade-in values, auction house sales records) - Control Self-assessment reviews in place	1	2	L	CSA			Manager Fleet	
PROVIDE PREVENTATIVE MAINTENANCE, REPAIR AND MODIFICATIONS TO COUNCIL’S FLEET, ENSURING COMPLIANCE WITH SAFETY REGULATIONS ▪ Programmed maintenance ▪ Ad hoc R & M ▪ maintain log books and time sheets	79. Failure to ensure robust fleet maintenance processes are developed, implemented and managed effectively - Maintenance procedures and parts used do not adhere to manufacturer’s recommended minimum standards - Unreliability and unserviceability	2	3	M	- Maintenance schedule developed and documented - Run on the 15th of each month for the following month’s services – provides sufficient time to identify and order parts required - Shows due dates for servicing intervals and what servicing is required - Based on manufacturer’s recommended specifications - Inventory of key stores maintained by Fleet - Servicing outsourced when required to ensure timing of servicing is met - Overdue servicing report able to be generated - Services and repairs undertaken are recorded on Authority memo - Control Self-assessment reviews in place	1	2	L				Manager Fleet	
	80. Users fail to complete log books or supply insufficient details - Inability to maintain computer servicing records - Vehicles not serviced in accordance with manufacturer’s instructions or warranty requirements - Additional down time through lack of programmed servicing and maintenance - OHS issues arising from using equipment that has not been maintained correctly - Budget income not achieved, restricting plant replacement	3	3	H	- Reminder notice for lodgement of log sheets issued monthly by Finance - Log sheets for Operations Centre plant and vehicles lodged with Fleet - Log sheets for Civic Centre vehicles lodged with Finance - Sheets containing errors or with omissions are returned to the applicable team leader for amendment - overdue log sheets report can be generated from Authority	2	2	M	CSA			Manager Fleet	
	81. Failure to monitor registration - Equipment registration expires - Third Party insurance expires with registration - Fines for unregistered vehicles - Reputation risk - Risk of litigation against council in the event of serious injury arising from accidents - Additional down time when equipment registration expires	2	4	H	- Report available detailing all registrations due (drawn from Authority) - Registration renewal notices sent to Fleet Manager - Road worthies can be done in house - Also undertaken at MVR and also through licensed service providers (independent inspection)	1	2	L				Manager Fleet	

73

BUSINESS PROCESSES		CAUSAL RISKS (and consequences)				INTERNAL CONTROL (and potential control improvements)				L	C	RR	TREATMENT PLAN		RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER															
MONITOR FLEET CONDITION AND LEVEL OF USAGE Return on investment is used to fund replacement plant and vehicles	82. Failure to ensure that the correct hire rate is applied to recover cost of vehicles and plant Return on investment not achieved Inability to fund replacement vehicles and plant as needed or required Additional maintenance and repair costs associated with outdated equipment Potential for OHS issues arising from use of older equipment Productivity loss arising from additional down time	2	3	M	- Documented process in place to determine applicable hire rates Hire rate formulae developed in conjunction with Fleet and Finance Hire rates reviewed annually Control Self-assessment reviews in place	1	2	L	CSA		Manager Fleet				
	83. Users fail to complete Operational Log Books or supply insufficient details Inability to accurately charge hire rates to end user business branches Failure to achieve predicted financial return on investment	3	3	H	- Reminder notice for lodgement of log sheets issued monthly by Finance Log sheets for Operations Centre plant and vehicles lodged with Fleet Log sheets for Civic Centre vehicles lodged with Finance Sheets containing errors or with omissions are returned to the applicable team leader for amendment overdue log sheets report can be generated from Authority Control Self-Assessment reviews in place	2	2	M							
	84. Failure to ensure that a comprehensive plant and asset maintenance program is developed, implemented and managed effectively Vehicles not serviced in accordance with manufacturer’s instructions or warranty requirements Technical inspection of equipment is not carried out on time Additional down time through lack of programmed servicing and maintenance OHS issues arising from using equipment that has not been maintained correctly	2	3	M	- Maintenance schedule developed and documented Run on the 15th of each month for the following month’s services – provides sufficient time to identify and order parts required Shows due dates for servicing intervals and what servicing is required Based on manufacturer’s recommended specifications Servicing outsourced when required to ensure timing of servicing is met Overdue servicing report able to be generated Services and repairs undertaken are recorded on Authority memo Control Self-assessment reviews in place	1	2	L	CSA			Manager Fleet			
PROVIDE PREVENTATIVE MAINTENANCE, REPAIR AND MODIFICATIONS TO COUNCIL’S SMALL PLANT AND EQUIPMENT Programmed maintenance Ad hoc R & M	85. Failure to effectively manage overflow repairs and maintenance through outsourcing excessive backlog requirement for overtime excessive down time end users unable to achieve objectives	2	3	M	- Service scheduler provides information on servicing and maintenance coming due Excessive work is outsourced to ensure effective delivery of services within required timeframes	1	2	L			Manager Fleet				
	86. Failure to ensure procedures have been developed and documented to monitor and control the use of Work Orders Work not booked to the correct Budgets Work being forgotten, repairs not completed leading to equipment failure Work booked to incorrect cost codes misleading data for analysis repairs booked as services could incorrectly lead to the conclusion that it is cheaper to outsource all servicing instead of being conducted in-house, the cost damage going undetected, whole of life cost incorrect, trend analysis reports incorrect	3	3	H	- separation of duties built into the process – raised by shop floor staff and checked by Team Leader Fleet Manager is able to monitor outstanding work orders	2	3	M	CSA	-	Manager Fleet				
	87. Failure to ensure staff raise Purchase Orders against correct Plant Incorrect operational costing of plant Incorrect plant costing to determine hire rates	3	2	M	- separation of duties – raised by Team Leader and verified by Fleet Manager or delegate	2	2	M	CSA	-					

ATTACHMENT D

GOVERNANCE.....	2
ORGANISATIONAL DEVELOPMENT.....	3
COMMUNICATIONS & MARKETING	4
COMMUNICATIONS & MARKETING	5

CORE BUSINESS FUNCTION		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and potential control improvements)			CSA or AUDIT	TREATMENT PLAN		RO
		L	C	AR	L	C	RR				
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
GOVERNANCE											
IMPLEMENT THE CITY OF DARWIN GOVERNANCE FRAMEWORK MANAGE PROCESSES TO ENSURE THAT COUNCIL MEETS ITS INTERNAL AND EXTERNAL REPORTING OBLIGATIONS AND EFFECTIVE COUNCIL DECISION MAKING - Executive Leadership Team - Minister for Local Government - Department of Local Government	1. Failure to implement and maintain an approved Governance Framework				- City of Darwin Governance framework developed and implemented 2013 - Reviewed ?????						EM Office of the Chief Executive
	2. Failure to establish and approve formal reporting requirements for individual governance groups - Failure to meet reporting deadlines - Reporting contains insufficient or erroneous information - Decision making processes based on insufficient or erroneous information	2	2	M	- Executive Officers / Secretaries have been appointed for all committees to monitor and manage reporting deadlines - Formal reporting arrangements are included in terms of reference for governance groups - Meeting Procedures Policy reviewed annually - Reports are based on template formats with approved content requirements - Reports are subjected to multiple levels of review and approval prior to being dispatched - A whole of organisation project is currently underway to review all Council Reporting - Control self-assessment in place	1	2	L			EM Office of the Chief Executive
	3. Failure to provide adequate and appropriately skilled personnel and resources to support Council meetings, standing committees and governance committees - Incomplete or inaccurate information provided in reports and submissions - Failure to ensure all information is provided in a timely manner - failure to ensure information is loaded to council's various information repositories - Reputations of individuals and Council is compromised - Potential for involvement of Minister for Local Government - Negative media reporting	2	4	H	- City of Darwin Governance framework developed and implemented 2013 - Committee Administration Handbook in place – reviewed 2014 - Administrative officers are appointed to Council and all supporting committees - Schedule of deadlines for preparation of papers and reports prepared for all meetings, endorsed by Council and published on a six- monthly calendar (twice a year) for all GMs, Managers and Executive Assistants - ELT considers a three monthly forward report schedule for Council and committee meetings - undertaken weekly and posted to Elected Members' intranet - LGA Audit of compliance undertaken 2014 – no material issues identified	1	3	L			EM Office of the Chief Executive
	4. Failure to ensure that decisions of Council are documented, communicated to the relevant Department and responsible officer and implemented in accordance with Council directions - Decisions not addressed and implemented within agreed timeframes - Failure to meet key objectives and directions - Reputation risk for Elected Members - Media and reputation risk	2	4	H	- City of Darwin Governance framework developed and implemented 2013 - All Council meetings are minuted using standard meeting templates - Action items are noted in Council minutes and assigned to General and Executive Managers - Draft Council Minutes are sent to all ELT, middle managers group and EAs and Secretaries Group for noting of action items - Minutes are reviewed by EM & CEO and decisions registered individually into EDRMS and tasked to Departmental EAs who forward to Action Officers - Control self-assessment in place	1	3	L	- Review of all Council decisions for the 21st Council is being undertaken by Committee administrator - Data base of decisions being developed - New version of EDRMS being implemented 2015-16 and will have capacity to support tracking of Council decisions - Consider implementation of a process where outstanding decisions are reported to ELT and reviewed on a quarterly basis and reports published on the Elected Members Intranet		
	5. Failure to provide adequate and appropriately skilled personnel and resources to support the Lord Mayor and the CEO - Incomplete or inaccurate information provided in reports and submissions - Failure to ensure all information is provided in a timely manner - failure to ensure information is loaded to council's various information repositories - Reputations of individuals and Council is compromised - Negative media reporting	2	4	H	- Lord Mayor has a dedicated resource allocated for executive support - CEO has a dedicated resource allocated for executive assistance - Schedule of deadlines for preparation of papers and reports prepared for all meetings, endorsed by Council and published on a six- monthly calendar (twice a year) for all GMs, Managers and Executive Assistants - ELT considers a three monthly forward report schedule for Council and committee meetings - undertaken weekly and posted to Elected Members' intranet - Schedule allows for proofing and editing of reports before tabling at meetings	1	3	L			EM Office of the Chief Executive

CORE BUSINESS FUNCTION	CAUSAL RISKS (and consequences)		INTERNAL CONTROL (and potential control improvements)		L	C	AR	LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER			CSA or AUDIT	TREATMENT PLAN	RO
ORGANISATIONAL DEVELOPMENT													
PROVIDE ADMINISTRATIVE SUPPORT TO ELECTED MEMBERS - Administer professional development program - Meeting administration support	6. Failure to provide adequate resources to support the Elected Members - Incomplete or inaccurate information provided in reports and submissions - Failure to ensure all information is provided in a timely manner - failure to ensure information is loaded to council's various information repositories - members ability to fulfil their duties is compromised - Reputations of individuals and Council is compromised - Negative media reporting	2	4	H	- City of Darwin Governance framework developed and implemented 2013 - Dedicated resource assigned to Elected Members - Elected members have dedicated intranet site for provision of information	1	3	L	CSA			EM Office of the Chief Executive	
	DEVELOP AND IMPLEMENT ELECTED MEMBER, CHIEF EXECUTIVE OFFICER AND STAFF COMMUNICATION FORUMS	7. Failure to ensure effective and formal channels of communication between the Elected Members, the CEO, Departmental Managers and staff - Issues raised by EMS are not addressed in a timely manner - members ability to fulfil their duties is compromised - EMS seen as ineffective in their roles - EMS do not have access to information from operational areas - Failure of operational areas to ensure that Office of CEO is provided with information for EMS in a timely manner	3	3	H	- City of Darwin Governance framework developed and implemented 2013 - Dedicated resource assigned to Elected Members - Elected members have dedicated intranet site for provision of information - Alderman briefing papers - Alderman receive weekly news packets - Weekly media alerts provided - Email alerts provided for important issues	2	3	M	CSA		EM Office of the Chief Executive	
PROVIDE HIGH LEVEL COORDINATION AND SUPPORT FOR COUNCIL'S ROLE IN THE VARIOUS LGA COMMITTEES - Council of Capital Cities Lord Mayors (CCCLM) - Capital City Committee (CCC) - Top End Regional Organisation of Councils (TOPROC) - Northern Australian Capital Cities Committee (NACC)	8. Ineffective advocacy Issues that are pertinent to COD specifically do not get recognised or progressed	2	3	M	- Chief Executive Officer nominates appropriate resources to all committees and working groups - Formation of CCC currently under review by COD & NTG (structure, representation and Terms of Reference) - Coordinating Committee of Officials has been established as a sub-set of Capital Cities Committee - CCOM meets regularly to ensure all actions are being progressed by the relevant officers - All member cities of the CCCLM are afforded the opportunity to opt in or out of all working groups/taskforces - TOPROC meets quarterly weekly and COD is represented by CEO, Lord Mayor and 2 elected members (one acts as an alternate) - CCCLM representation through CEO & Lord Mayor - Northern Australia Capital City Committee Charter adopted to provide strategic direction to Committee	1	3	L	CSA			Manager Strategy & Outcomes	
ORGANISATIONAL DEVELOPMENT													
FACILITATE ORGANISATIONAL WIDE CULTURE CHANGE AND DEVELOPMENT PROGRAM TO ACHIEVE A STRONG WORKFORCE ALIGNMENT BETWEEN WORKPLACE PLANNING STRATEGIES AND COUNCIL'S GOALS. - Develop and Implement Council's Leadership Essentials Program - Develop and implement an organisation wide culture change program - Coach and Support Senior Managers and team members across the business to assist in identifying and implementing initiatives to enhance progress towards desired goals and change	-				-				-			Manager Organisational Development	

CORE BUSINESS FUNCTION	CAUSAL RISKS (and consequences)						INTERNAL CONTROL (and potential control improvements)					TREATMENT PLAN	RO
	L		C		AR	L	C	RR	CSA or AUDIT				
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													

COMMUNICATIONS & MARKETING MANAGE COUNCIL'S REPUTATION THROUGH EFFECTIVE MEDIA MANAGEMENT STRATEGIES, PUBLIC RELATIONS AND MARKETING - Manage requests from the media for statements, comments or interviews regarding matters under DCC control - Preparation of CoD information releases to the media - Monitoring of media articles relating to Council - Manage the perception of Council in the wider community - Develop resolution strategies for issues impacting on ratepayers and the public - Editorial review of CoD publications	9. Failure to build and maintain proactive, positive and engaging relationships with the media - Lower levels of media coverage of core council events - Lack of engagement with Council media staff - Inaccurate reporting and mis-information	2	3	M	- Dedicated resource - Media & Public Relations Officer appointed - Media releases prepared and reviewed with OCE - Weekly update of topical information prepared for MSM - Monthly preparation of "fact sheet" for NT News - Weekly ABC radio segment with Lord Mayor - Timely responses to media requests - Annual engagement meeting undertaken with MSM	1	3	L							
	10. Unauthorised / accidental / uncontrolled release of sensitive or damaging information or public statements - Legal implications - political and reputation risk	2	4	H	- All contact from the media must be referred immediately to the OCE who will respond in accordance with the Media Policy - Public statements are made in accordance with approved communications strategy - Code of Conduct applies with respect to public comment by employees - The Media Policy has been updated to include social media and endorsed by ELT. Revised policy to be presented to Council in January 2013.	2	2	L						MONITOR AND REPORT THROUGH MEDIA MATRIX TO ELT	
	11. Deliberate leaking of information by staff - Legal implications - political and reputation risk - management of public perception	3	3	H	- Media policy approved and in place - Code of Conduct applies with respect to public comment by employees - Disciplinary procedures embedded in the Code of Conduct	2	3	M						MANAGE THROUGH POST EVENT INVESTIGATIONS AND ELT	
	12. Inaccurate reporting by the media - Public misconception of Council's roles & responsibilities - Unwarranted negative feedback - Continued negative media coverage	4	3	E	Council can request formal correction or retraction	4	2	H					- this is somewhat beyond the control of Council - Council can be pro-active in releasing media statements however it cannot control comment generated by media - consideration is being given to a "media response" strategy whereby council can provide rebuttal to inaccurate reporting ?		EM Office of the Chief Executive
	13. Media releases not checked thoroughly for factuality before being released - Inaccurate reporting - Political and reputation risk	3	2	M	- All media releases must be approved by the CEO or delegate - Media releases are checked by Media and Public Relations Officer and Executive Manager Office of CEO	1	2	L					CSA		
	14. Failure to identify media articles that impact on Council's reputation - Failure to respond with factual information - Credibility impact	2	3	M	- Local print media is monitored on a daily basis by key staff - Electronic media reporting is monitored daily	1	3	L					CSA	MONITOR AND REPORT THROUGH MEDIA MATRIX TO ELT	
	15. Failure to ensure council proactively manages communications with ratepayers and the general public - Public misconception - Unwarranted negative feedback	2	3	M	- Council runs regular features in the print and other media - Council employs dedicated staff to manage communications with the ratepayers and community groups (COD web-site, Darwin Life, Life@theTop, Twitter and Face Book) - Council runs a monthly information page in the NT News	1	2	L					CSA		
	16. Failure to ensure all editorial matter is reviewed for content, layout and factual information prior to publication - Errors or omissions in public statements - Public misconception - Political and reputation risk - Negative media reporting	3	3	H	- Managed centrally by OCE - Major publications are reviewed and approved by ELT (& Council where appropriate) prior to publication	1	3	L					CSA		

CORE BUSINESS FUNCTION	CAUSAL RISKS (and consequences)	L	C	AR	INTERNAL CONTROL (and potential control improvements)			L	C	RR	CSA or AUDIT	TREATMENT PLAN	RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
COMMUNICATIONS & MARKETING													
MANAGE AND IMPLEMENT COUNCIL'S ANNUAL COMMUNICATIONS STRATEGY AND DEVELOP AN ANNUAL COMMUNICATIONS PLAN Provides direction for internal and external communications frameworks	17. Failure of Council to understand customer and stakeholder needs and expectations - Failure to identify and engage customers and stakeholders on a regular and consistent basis - Customer feedback mechanisms not in place - Lack of marketing of facilities (e.g. online or publication) - Services not aligned to residents needs	2	3	M		- Council requires that community consultation be undertaken and reported in each Council report on major community related initiatives - OCE has developed a Community Consultation policy which has been endorsed and adopted by Council	1	3	L				EM Office of the Chief Executive
	18. failure to ensure consistent application of engagement and communication approaches - silos driven communication methods - engagement media inappropriate for target audience - failure to understand our target audience - inability to access key information	2	3	M			1	3	L				
	19. Marketing strategies do not successfully communicate and promote Council's core services - Ratepayers and the community do not understand the role of Council and its core services - Unrealistic expectations of ratepayers and the community - Negative media reporting	3	3	H		- Council employs a dedicated Digital Marketing & Communications Officer - Content review and approval process in place through OCE and ELT - Dedicated strategy in new Strategic Plan "Increase community awareness of the role and achievements of Council"							
	DEVELOP AND MANAGE COUNCIL'S SOCIAL MEDIA PLATFORMS AND WEBSITES - Training in use of web page development software - Development and enhancement of intranet & web sites - Manage on-line marketing strategies - Promotion of Council's core and non-core services - Marketing & communications planning - Brand management - Social media communications - Ensure open channels of communications with elected members - Council activities and operations and other issues impacting on their electorates - Public feedback hot topics	20. Failure to ensure elected members are provided with requisite information in a timely manner on issues impacting council and member's electorates - Embarrassment caused to elected members - Political and reputation risk	2	4	H		- Issues identified from media monitoring are communicated to Elected Members and Chief Officer's Group on the same day - All Council media releases are sent to Elected Members and ELT at the time of release to the media - Issues are posted to the dedicated Elected Members Intranet site - OCE officers monitor use of website to ensure effectiveness	1	3	L		ORA identified strong internal controls MONITOR THROUGH MEMBER FEEDBACK	
21. Layout and content of websites and digital communications media are not in accordance with policy and guidelines - Embarrassment caused to elected members - Political and reputation risk		2	3	M		- Intranet is centrally managed within OCE - Internet sites can be managed through a dedicated champion in each operational department - Regular reviews undertaken of website content (appropriateness of content and age of material) - redevelopment of the intranet site completed 2014	1	2	L				
22. Website and digital communications media faults - content omission or errors - broken or missing links - out dated or irrelevant information		3	3	H		- Centrally managed by a dedicated resource within OCE - Regular reviews undertaken of website content (appropriateness of content and age of material) - Council has funded complete redevelopment of the intranet site which commenced December 2013 - Need to develop procedures for archiving of old web content	2	2	L		ORA identified strong internal controls ONGOING MONITORING THROUGH USER FEEDBACK & ANNUAL CUSTOMER SURVEY		
		23. Hacking or defacing of internet site - External persons - Disgruntled employees - Reputation risk	1	4	M		- Firewalls are in place - Access authority used to control access to terminals and IT systems - Anti-virus software updated daily	1	3	L			
MANAGE MARKETING AND PROMOTION OF COUNCIL'S BRAND INCLUDING SPONSORSHIP	24. Failure to manage public perception of Council sponsoring inappropriate events	3	3	M		- Sponsorship requests undergo structured assessment and approval process	2	2	L				

ATTACHMENT E

CLIMATE CHANGE & ENVIRONMENT	2
CLIMATE CHANGE & ENVIRONMENT	3
ECONOMIC DEVELOPMENT & TOURISM – INTERNATIONAL RELATIONS.....	4
ECONOMIC DEVELOPMENT & TOURISM – BUSINESS ADVISORY SERVICES	4
ECONOMIC DEVELOPMENT & TOURISM – LAND AND PROPERTY MANAGEMENT	4
ECONOMIC DEVELOPMENT & TOURISM – CAR PARKING MANAGEMENT.....	5
CITY PLANNING - PLANNING	6

CORE BUSINESS FUNCTION	CAUSAL RISKS (and consequences)		L	C	AR	INTERNAL CONTROL (and potential control improvements)			L	C	RR	CSA or AUDIT	TREATMENT PLAN	RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER														
CLIMATE CHANGE & ENVIRONMENT														
MANAGE & IMPLEMENT THE CLIMATE CHANGE POLICY AND ACTION PLAN 2011-2020 - Climate Change Policy - Climate Change Action Plan 2011-2020 - Foster sustainable practices within the Council - Monitor and report on progress towards targets - Communicate Council's climate change plans and actions to the public	1. Failure to implement and maintain the climate change policy - Failure to maintain a policy that functions exclusive to external drivers - Failure to adhere to emissions reporting procedures - Failure to capture and monitor key environmental data - Failure to capitalise on commercial opportunities	2	4	H	- Climate Change Policy adopted 2010 and reviewed in 2015 - Climate Change Action Plan adopted 2011 and reviewed in 2014 - Council reports against Climate Change Action Plan activities through business management systems and the Annual Report - Action Plan reviewed every three years - "Darwin Green Office" program engages staff on environmental initiatives - Greenhouse Gas inventory data to be maintained in EDRMS for version control	1	4	M	- Endorse the reviewed Climate Change Action Plan and Policy - Work with Records staff to determine best method for maintaining Greenhouse Gas Inventory data - Investigate protection options available in Excel	Manager Climate Change				
	2. Council does not actively manage its climate change and environmental responsibilities - Failure to meet legislative obligations - Failure to embed an environmental awareness culture across the organisation - Lack of reporting and monitoring procedures - Failure to capture and monitor environmental statistics - Failure to implement effective environmental management programs - Failure to audit and inspect and act on outcomes	3	4	H	- Environmental implications are considered in reports to Council and Committees - Maintain a database of relevant environmental legislation - Develop and maintain standard reporting procedures for contractors - Incorporate reporting procedures into contract documents - Research and develop environmental clauses and conditions - Incorporate environmental clauses into new and reviewed leases and contracts - Control self-assessment in place	2	3	M	- Develop a database of environmental legislation - Review significant leases and contracts to ensure relevant environmental clauses are being included and honoured - Develop Standard Operating Procedure and environmental checklist for site inspections and monitoring					
	3. Failure to communicate Council's climate change goals, plans and actions to the public - Stakeholders not fully aware of Council's climate change strategies and initiatives - Lack of impetus once climate change once policy is established - Reputational risk	2	3	M	- Communication policy developed and approved - Climate Change Policy adopted 2010, and reviewed 2015 - Climate Change Action Plan adopted 2011, and reviewed 2015 - Council reports against Climate Change Action Plan through business management systems and the Annual Report - Council website is kept up to date with current projects - New communication channels are investigated to target broad markets - Annual reports reflect achievements in the area - Community engagement opportunities are pursued and used to demonstrate broader climate change goals, plans and actions	1	3	L	- Develop an environment community education kit					
	4. Failure to monitor environmental performance - Failure to set benchmarks and targets - Inability to monitor progress - Inability to respond to ... - Inability to identify anomalies in consumption levels - No reliable data available to address energy consumption levels - Financial cost of inefficient plant and equipment	2	3	M	- OCE is responsible for monitoring and evaluation - Environmental audits are undertaken - Weekly desktop monitoring of top energy consuming facilities - Greenhouse gas emission inventory undertaken annually, and reported through annual report - Internal tracking of electricity consumption data is undertaken - Control self-assessment in place	1	3	L	- Revisit Darwin Green Office to identify areas across council that could be improved - Apply areas of responsibility to relevant staff within online monitoring (Planet Footprint) to include finance and operations					
	5. Failure to act on information/data from monitoring in a timely manner - Financial cost from continued inefficient operations - Reputational risk - Environmental harm - Inability to meet reduction targets	2	3	M	- OCE is responsible for undertaking monitoring and evaluation - Audit recommendations are thoroughly reviewed by relevant Council departments - Audit reports are endorsed by ELT and Council (as appropriate) - Implementation of minor recommendations is managed through relevant Department (generally Infrastructure) - Major recommendations considered through annual budget process - Control self-assessment in place	1	3	L						
COORDINATE THE IMPROVEMENT OF THE ENVIRONMENTAL PERFORMANCE OF COUNCIL'S OPERATIONS - Monitor Council's energy consumption levels and carbon emissions - Explore innovative responses to improve environmental performance - Set and progress energy consumption targets - Carbon emission reduction targets - Environmental audits - Monitoring and reporting on carbon emissions														

CORE BUSINESS FUNCTION	CAUSAL RISKS (and consequences)	L	C	AR	INTERNAL CONTROL (and potential control improvements)			L	C	RR	CSA or AUDIT	TREATMENT PLAN	RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
CLIMATE CHANGE & ENVIRONMENT													
MANAGE COUNCIL’S RESPONSE REGARDING LEGISLATION, GOVERNMENT POLICY AND LAND USE STRATEGY AS IT AFFECTS ENVIRONMENTAL MANAGEMENT AND CLIMATE CHANGE OUTCOMES - Ensure compliance with Federal and Territory climate change legislation - Maintain existing and create new relationships with relevant Government and Non-Government Environmental Organisations	6. Failure to receive or understand the implications of new legislation - Failure to prepare for major legislative change - Legislative change has significant environmental, economic or social impact on Council and the community	2	3	M	- Climate Change Policy adopted 2010 - Climate Change Action Plan adopted 2011 - Council has a dedicated Climate Change and Environment Section staffed by qualified officers - Council has strategic climate change committees (Climate Change & Environmental Annual Forum and Environment & Infrastructure Committee) - Council is represented on relevant advisory committees - Council provides comment on planning and land use matters (including Environmental Impact Statements, development applications etc)	1	2	L	- Develop a database of environmental legislation - Review significant leases and contracts to ensure relevant environmental clauses are being included and honoured	Manager Climate Change			
	7. Failure to identify environmental implications of land use changes - Ecosystem degradation - Loss of amenity - Irreversible landscape changes - Planning scheme does not support a sustainable natural environment	3	2	M		1	2	L	- Assess development applications for environmental impact				
FOSTER ENVIRONMENTALLY SUSTAINABLE BEHAVIOUR IN THE COMMUNITY -	8. Failure to maintain relationships with relevant organisations - Failure to identify and capitalise on initiatives - Failure to embed a sense of community in the Darwin Municipality - Lack of accountability to community organisations	2	2	L	- Facilitate monthly lunchtime seminar series targeting professionals - Develop community education tools - Support community organisations in delivering environmental outcomes	1	1	L	- Develop and environmental education community engagement kit - Utilise existing environmental initiatives to improve community engagement	Manager Climate Change			
MANAGE COUNCIL’S STRATEGIES FOR BIODIVERSITY AND CONSERVATION MANAGEMENT - Manage and implement the East Point Reserve Biodiversity 5 Year Plan (2014-2018) - Investigate and develop strategies for management of the Darwin Urban Forest	9. Failure to maintain natural environments across the municipality - Species loss - Ecosystem degradation - Loss of amenity	3	3	M	- Undertake biodiversity monitoring at East Point Reserve - Implement the East Point Reserve Biodiversity 5 Year Plan (2014-2018) - Investigate and develop strategies for management of the Darwin Urban Forest	2	1	L	- Assess value of green space across the municipality	Manager Climate Change			
MONITOR STORMWATER AND WATERWAY WATER QUALITY - Manage external contractors to sample and test water quality - Stormwater testing is undertaken three times per year - Other water testing is undertaken fortnightly throughout the year - Results are maintained by CCE	10. Failure to maintain healthy waterways - Inability to identify impact of stormwater flows on the environment - Failure to understand relationship between infrastructure and water system - Failure to maintain high public health standards	4	3	E	- Standard Operating Procedure 011 details the Sampling, Testing and Analysis of water bodies - Procedure is reviewed annually - Water sampling and water testing are undertaken by external contractors	2	3	M	- Incidental review of Standard Operating Plan	Manager Climate Change			

CORE BUSINESS FUNCTION		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and potential control improvements)			L	C	AR	LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER			CSA or AUDIT	TREATMENT PLAN	RO	
ECONOMIC DEVELOPMENT & TOURISM – INTERNATIONAL RELATIONS																	
TOURISM DEVELOPMENT & INVESTMENT ATTRACTION - Relationships with NT & Federal Government - Other Councils - External tourism bodies and stakeholders	11.				-											Manager Economic Development & Tourism	
	MANAGE THE CITY OF DARWIN SISTER CITIES PROGRAM - Annual action plans for individual Sister Cities - coordinate events and activities - Resource support for 5 committees - Manage volunteers, delegations - Develop and deliver youth & other exchanges - International relations that benefit the broader Darwin community	12. Lack of clearly defined and documented program structure - Impacts on capacity for active community engagement - Restrictive administrative procedures	2	2	M	- A program review is to be undertaken assessing the structure, function and operational aspects with recommendations for Council's consideration.	2	2	M							Manager Economic Development & Tourism	
		13. Limited qualified resources available to support program objectives and administrative processes	2	2	M	- A program review is to be undertaken assessing resource requirements with the view to quality and structural improvements - New higher level position now resourced by Council which will improve achievement of objectives.	2	2	M								Manager Economic Development & Tourism
		14. Failure to manage public perception of the value of the program - Sustained negative media reporting and public comment	4	2	H	-											
ECONOMIC DEVELOPMENT & TOURISM – BUSINESS ADVISORY SERVICES																	
PROVIDE BUSINESS ADVISORY SERVICES TO COUNCIL - Provide business advisory services to Council on matters including investment property, business proposals and the use of council property for commercial activities - Advise Council on Darwin's business, economic and tourist development and compliance in accordance with adopted policy	15.				-											Manager Economic Development & Tourism	
ECONOMIC DEVELOPMENT & TOURISM – LAND AND PROPERTY MANAGEMENT																	
NEGOTIATE THE STRATEGIC PURCHASE AND DISPOSAL OF LAND AND PROPERTY FOR COUNCIL - Strategic purchases maximising Council investment - Effective due diligence mitigating any risk to Council - Supported third party Independent valuations - Comply with Council's policies and procedures Land Disposal Policy - Ensure open and transparent process - Achieve best value for money outcomes for Council	16. Failure to ensure that acquisitions are undertaken with due diligence - Failure to obtain independent valuations - Failure to maximise investment - Reputation risk	2	4	H	- Council has a dedicated land acquisition and disposal policy Standard practice is to obtain an independent valuation of all land acquisitions All land acquisitions form the basis of a comprehensive report to Council detailing a due diligence process Control self-assessment in place	1	2	L								Manager Economic Development & Tourism	
	17. Failure to ensure disposals are undertaken in accordance with council policy - Failure to ensure transparency of process - Failure to ensure best value for money returns - Reputation risk	2	4	H	- Council has a dedicated land acquisition and disposal policy Standard practice is to obtain an independent valuation of all land disposals All land disposals form the basis of a comprehensive report to Council detailing a due diligence process Control self-assessment in place	1	2	L								Manager Economic Development & Tourism	
NEGOTIATE AND ADMINISTER COMMERCIAL PROPERTY LEASES -	18.				-											Manager Economic Development & Tourism	

CORE BUSINESS FUNCTION	CAUSAL RISKS (and consequences)	L	C	AR	INTERNAL CONTROL (and potential control improvements)			L	C	RR	CSA or AUDIT	TREATMENT PLAN	RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER													
ECONOMIC DEVELOPMENT & TOURISM – CAR PARKING MANAGEMENT													
MANAGE COUNCIL'S PARKING STRATEGY - Technology impacts - Long term parking planning	19. Failure to adequate plan for long term CBD parking needs -	2	4	H	- -	CBD parking planning strategy undertaken 2014 Long term planning for multi-storey CBD car park	1	4	M				Manager Economic Development & Tourism
	20. Parking meter technology does not meet the needs and requirements of customers -	3	3	H	-		2	3	M				
MANAGE THE PLANNING FOR AND OPERATION OF CITY OF DARWIN ON AND OFF-STREET CAR PARKING - car park facilities management - Community service obligations in relation to the provision of public car parking - Management and maintain on and off street car parking - car parking machines are reliable and operational - Manage and maintain effected relationships with the car parking contractor - Effective internal controls in relation to cash collection - Effective internal controls in relation to issue and control of permits	21. Failure to develop and monitor appropriate controls and procedures for staff and contractors - Failure to ensure segregation of duties - Failure to ensure staff and contractors are trained - Inability to monitor and control permits - Poor management of car parks - Potential fraud, loss of revenue - Reputation Risk	2	3	M	- - - - - -	Cash collection contract and internal procedures provide for segregation of duties Cash collection contracts provide for the requirement of trained staff Internal procedures have been prepared for the control of permits which is linked to Authority Monthly car parking reports are prepared for Council A new Car Parking Advisory Committee has been established Internal controls and procedures to be reviewed annually Control self-assessment in place	1	2	L				Manager Economic Development & Tourism
	22. Failure to maintain parking mechanical systems - Ticketing systems offline - Loss of revenue - User dissatisfaction - Reputation risk	1	3	L	- -	Regular maintenance undertaken under third party contract Parking systems implemented have history of reliability	1	2	L				
	23. Failure to manage & monitor security systems - Security systems failures - Decreased security - Inability to provide evidence in criminal matters - Decreased confidence of tenants - Reputation risk	2	2	M	-	Monitored daily by Council staff	1	2	L				
	24. Failure to develop and monitor appropriate cash handling controls and procedures for staff and contractors - Failure to ensure segregation of duties - Failure to ensure staff and contractors are trained	2	3	M	- - -	Policies and procedures in place and reviewed annually Training required as part of the cash collection contract Control self-assessment in place	1	1	L				

CORE BUSINESS FUNCTION		CAUSAL RISKS (and consequences)			INTERNAL CONTROL (and potential control improvements)			TREATMENT PLAN			RO
LEGEND : L = LIKELIHOOD C = CONSEQUENCE AR = ABSOLUTE RISK RR = RESIDUAL RISK RO = RISK OWNER											
CITY PLANNING - PLANNING											
WORK WITH STAKEHOLDERS TO IMPLEMENT STRATEGIC PLANNING INITIATIVES - Develop and maintain Land use plans & policies - Strategic planning initiative - Planning Legislative Compliance - Local Government Act - Planning Act - Land Title Act - Place Names Act	25. Failure to maintain policies and plans -					-					Strategic Town Planner
	26. Failure to meet obligations under legislation - Unauthorised development - Reputation risk					-					
UNDERTAKE LAND USE PLANNING TO DEVELOP STRATEGIC PLANS AND POLICY TO INFLUENCE THE NORTHERN TERRITORY GOVERNMENTS STRATEGIC LAND USE PLANS - Manage development initiatives in Council strategic plans and NTG Greater Darwin Plan - Land use planning - Policy development - Re-zoning - Planning scheme amendments - Urban design initiatives - Liaison with NTG - Liaison with developers/stakeholders - Community advocacy	27. failure to ensure a coordinated approach to development processes and long term planning - NTG can make long term decisions re development planning without consultation - Projects imposed or inherited without being able to address budget implications - Additional costs incurred by City of Darwin - City of Darwin unable to effectively plan for long term infrastructure development - DCA has overall approval powers for development – Council has advisory role only	2	4	H		- City of Darwin has a dedicated resource through it Strategic Town Planner - City of Darwin is represented on COAG and supports planning initiatives through that forum - City of Darwin has embraced NTG Territory 2030 initiatives in its strategic plans		1	4	M	Strategic Town Planner
	28. Failure to undertake adequate development assessment - may lead to Council inheriting problems such as traffic management problems, stormwater drainage problems, inadequate access/egress, inadequate car parking on-site, signage, al fresco dining and inadequate garbage collection - may lead to a loss of credibility of Council in the eyes of the Development Consent Authority and the general public - negative media reporting	2	4	H		- Internal and external stakeholder consultation is undertaken - City of Darwin employs qualified planning staff - policies and codes exist for garbage, signage and al fresco dining - Australian Standards exist for stormwater drainage, access and egress, traffic management - Applications for development need to meet all assessment guidelines - Control self-assessment in place		1	3	L	
DEVELOP AND MANAGE DEVELOPER CONTRIBUTION PLANS TO ENSURE FUTURE PROVISION OF SERVICES AND INFRASTRUCTURE UPGRADE WORKS AS A RESULT OF DEVELOPMENT - Development contribution plans for the future provision of services - Administration of contribution plans - Planning Act requirements	29. Failure to produce contributions plans in a timely manner to deal with issues such as inadequate parking, stormwater and road works upgrading works required to facilitate new development - Plans should be applied as a matter of priority and before any subdivisions take place - Inadequate funding contribution by private developers to undertake ultimate upgrading works required - greater financial impost on the general public to undertake these works - higher future rate rises than would otherwise be required - negative media reporting	3	3	H		- development assessment procedures are in place to identify infrastructure upgrade requirements associated with development applications - applications are treated on an individual case by case basis - formal agreement entered into with developers to address infrastructure upgrading requirements and cost sharing arrangements - various contributions plans are in place for stormwater, road works upgrades and parking provisions - development of additional contribution plans is currently being considered (Stuart Park and Parap stormwater drainage, with others to follow) - Control self-assessment in place		2	3	M	Strategic Town Planner
	30. Failure to effectively administer contribution plans - Inadequate funding contribution by private developers to undertake ultimate upgrading works required - greater financial impost on the general public to undertake these works - higher future rate rises than would otherwise be required - negative media reporting	3	3	H		- currently undertaking a process to capture all development applications that have not been subject to CBD stormwater contribution plans - Control self-assessment in place		2	3	M	

ENCL: RISK MANAGEMENT & AUDIT
YES COMMITTEE/OPEN

AGENDA ITEM: 10.4

EXAMPLE QUARTERLY PERFORMANCE REPORT – MUNICIPAL PLANNING

REPORT No.: 17TC0028 VG:ph COMMON No.: 1230662

DATE: 07/07/2017

Presenter: Manager Strategy & Outcomes, Vanessa Green

Approved: Executive Manager, Mark Blackburn

PURPOSE

The purpose of this report is to provide the Risk Management & Audit Committee with an example of the revised quarterly performance report format.

LINK TO STRATEGIC PLAN

The issues addressed in this Report are in accordance with the following Goals/Strategies 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

- Audit Issue No. 140 is now complete.
- In September 2015 KPMG was engaged to review the Strategic Performance Framework and the implementation of Outstanding Audit Issue 140 items.
- A key recommendation was that Council consider replacing the Quarterly Team Update Reports with quarterly Municipal Plan reporting. Quarterly Municipal Plan Reporting commenced in the 2016/17 financial year.
- The Risk Management & Audit Committee has requested to view an example of the revised reporting format. A copy is attached for information at **Attachment A**.

RECOMMENDATIONS

THAT the Committee resolve under delegated authority:-

THAT Report Number 17TC0028 VG:ph entitled Example Quarterly Performance Report – Municipal Plan, be received and noted.

PAGE: 2
 REPORT NUMBER: 17TC0028 VG:ph
 SUBJECT: QUARTERLY PERFORMANCE REPORTS

BACKGROUND

11.1 Outstanding Audit Issues Register (26/08/16) Common No. 422690

(Elix/Palmer)

COMMITTEE'S DECISION

- A. THAT the Outstanding Audit Issues Register be received and noted.
- B. THAT an example of the new quarterly performance reporting against the Municipal Plan be presented to the March 2017 meeting.
- C. THAT completion dates for audit actions 146 Investments Audit and 147 Financial Statements Audit be provided to the March 2017 meeting.

DECISION NO.21\4748 (26/08/16)

Carried

ACTION: PART B MANAGER STRATEGY & OUTCOMES
 ACTION: PART C MANAGER FINANCE
 NOTE: GM CORP

DISCUSSION

The City of Darwin annual internal audit program required Council to undertake an audit of its adopted Strategic Performance Framework during 2013. The final audit report was presented to the RMAC in November 2013. Moderate risk audit findings 1.0 – 4.0 were placed on the Outstanding Audit Issues Register.

Manager Strategy and Outcomes has been working with KPMG to ensure Outstanding Audit Issue 140 is addressed and review the current status of the Strategic Performance Framework.

Outstanding matters relating to Audit Issue 140 were addressed at the Risk Management & Audit Committee Meeting held in October 2016. The matter was removed from the Outstanding Audit Items register.

Subsequently, the Risk Management & Audit Committee has requested to view an example of the new quarterly performance reports against Council's Municipal Plan.

The Quarter 3 Report as presented to the Corporate & Economic Development Committee in May 2017 is attached, **Attachment A**.

CONSULTATION PROCESS

Nil

PAGE: 3
 REPORT NUMBER: 17TC0028 VG:ph
 SUBJECT: QUARTERLY PERFORMANCE REPORTS

POLICY IMPLICATIONS

Whilst there are not direct policy implications, implementation of the recommendations will contribute to continuous review and improvement of the City of Darwin Strategic Performance Framework and Annual Reporting processes.

BUDGET AND RESOURCE IMPLICATIONS

The change from Quarterly Team Update Reports to quarterly reporting against Municipal Plan will have a positive effect on resources by reducing the duplication of reporting requirements by staff.

RISK/LEGAL/LEGISLATIVE IMPLICATIONS

Legislative Implications

The functions (s12) and objectives (s13) of the *Local Government Act* provide for Council to develop and implement a Strategic Planning / Performance Framework that suits its needs.

(s22) requires Council to have a plan for its area which is to include the indicators for judging the standard of its performance. The City of Darwin is known as a municipal council and the plan is therefore referred to as the 'Municipal Plan'.

Risk Implications

The risks associated with not responding to the recommendations in the Audit Report and staff discussions include:

- Inability to develop robust and accountable planning and performance documents;
- Legislative non-compliance; and
- Organisational culture not aligned with strategic direction and performance reporting.

ENVIRONMENTAL IMPLICATIONS

Nil

PAGE: 4
REPORT NUMBER: 17TC0028 VG:ph
SUBJECT: QUARTERLY PERFORMANCE REPORTS

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.

VANESSA GREEN
MANAGER STRATEGY &
OUTCOMES

MARK BLACKBURN
EXECUTIVE MANAGER

For enquiries, please contact Vanessa Green on 89300531 or email:
v.green@darwin.nt.gov.au.

Attachments:

Attachment A: Corporate Services and Office of Chief Executive
Quarter 3 Performance Report

ATTACHMENT A

3RD QUARTER

2016/17



City of Darwin

Corporate Services Performance Report

Jul 16 - Mar 17

Costs of Services for the period ended 31 December 2016							YTD v FAB	
	Full Original Budget \$'000	Full Amended Budget \$'000	Recommended Variations \$'000	Projected Result \$'000	YTD Actual \$'000		%	Notes
% of year elapsed	50%							
Corporate Services	Attachment B-3							
Income								
General Manager Corporate	6	6	-	6	22		405%	
Employee Relations	105	105	-	105	64		61%	
Finance Management	490	490	-	490	161		33%	
Fleet Management	73	73	-	73	22		30%	
Information Technology	53	53	-	53	38		73%	
On & Off Street Parking	5,122	5,122	-	5,122	2,926		57%	
Property Management	1,497	1,497	9	1,506	879		58%	
Regulatory & Animal Management	3,309	3,309	-41	3,268	1,737		53%	1
Total income	10,654	10,654	-32	10,621	5,850		55%	
Expense								
General Manager Corporate	964	964	-302	662	450		68%	2
Business Services	290	290	-	290	157		54%	
Contract Administration	161	161	-	161	82		51%	
Darwin Entertainment Centre	902	902	-	902	371		41%	
Employee Overheads (net)	117	117	-	117	-2		-1%	
Employee Relations	1,590	1,590	-	1,590	690		43%	
Finance Management	3,097	3,097	-	3,097	1,456		47%	
Fleet Management (net of internal charges/hire) *	-1,736	-1,736	-	-1,736	-863		50%	
Information Technology	2,736	2,736	-	2,736	1,521		56%	
On & Off Street Parking	5,170	5,170	-	5,170	2,619		51%	
Property Management	165	183	-	183	89		49%	
Records & Information Management	668	668	75	744	313		42%	3
Regulatory & Animal Management	4,546	4,546	56	4,602	2,335		51%	4

Costs of Services for the period ended 31 December 2016							YTD v FAB	
	Full Original Budget \$'000	Full Amended Budget \$'000	Recommended Variations \$'000	Projected Result \$'000	YTD Actual \$'000		%	Notes
% of year elapsed							50%	
Risk Management	1,191	1,240	-	1,240	878		71%	
Total expense	19,862	19,929	-170	19,759	10,096		51%	
Net surplus (-cost)	-9,209	-9,275	138	-9,137	-4,246		46%	
Notes on recommended variations: - Decrease in income due to less permits being issued (\$56k) and anticipated cat registrations, (\$23k) partially offset by increases in suburban infringement income (\$17k) and dog registration income (\$21k). - Transfer Organisational Development function from Corporate Services department to CEO department ; no variation to overall COD budgets. - Transfer Records Information Officer from Infrastructure department to Records function; no variation to overall COD budgets. - Upgrade to mobile infringement system (\$35k) funded from On & Off Street Parking Reserve and increase in Public Places & CBD enforcement overtime and dog registration write-offs (offset by additional income). Note: function transfer actuals will be transferred in January in line with budget transfers.								

Corporate Services

Overview

KPI Status



>90% on track or better

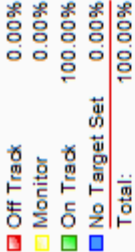


<90% and >70% marginal variance



<70% off track or requires attention

Performance



- 14 KPIs reported on
- 9 KPIs with at least 90% of target
- 4 KPIs between 70 and 90% of target
- 1 KPIs with less than 70% of target
- 0 KPIs with no targets set

KPI

KPI	Unit	Target	Actual
< 20% internal annual staff turnover rate	%	20.00	7.70
Latest Comment First quarter turnover was at 1.7% Second quarter turnover was at 5.2% Third quarter turnover was at 7.7%			
Annual Corporate Services departmental expenditure within approved budget	%	75.00	75.00
Latest Comment Year to date expenditure (excluding capital) versus budget.			
Annual Darwin Entertainment Centre expenditure within approved budget	%	75.00	84.00
Latest Comment Year to date expenditure (excluding capital) versus budget.			

KPI	Unit	Target	Actual	
Community perception of safety in parks, reserves and public open spaces	%	60.00	86.00	
Latest Comment Council no longer asks this question in its annual Community Satisfaction Survey. Rather, the questions now seek to determine whether the community feel unsafe more during the day or at night and which public spaces they feel most unsafe. This KPI now reports the level of community satisfaction with feeling safe during the day time. In 2016, 86% of people said they feel safe during the daytime, slightly down from 88% in the previous year and 91% in 2014. Feeling of safety at night-time has also declined slightly with 48% of respondents indicating they felt safe as opposed to 59% the previous year.				
Community satisfaction with dog and cat control and education programs	#	3.30	3.10	
Latest Comment Whilst views of animal control and education were mixed, 34% of people were satisfied with the services provided in 2016/17. The service was rated 3.1, slightly up from 3.0 the previous year.				
Number of cats registered within the City of Darwin	#	1,500.00	1,226.00	
Latest Comment Registrations for the 2016/17 financial year fell due 31 July 2016. Cat registrations have increased from 1,087 in the previous financial year.				
Number of dogs registered within the City of Darwin	#	10,000.00	8,950.00	
Latest Comment 8,950 dogs were recorded as registered during 2016/17. Registrations were due July 2016.				
Percentage of Council's annual Internal Audit Plan delivered	%	50.00	50.00	
Latest Comment Two internal audits have been undertaken for: - Information Technology systems and security; and - Investment strategy				
Percentage of female staff	%	50.00	44.00	
Latest Comment 138 Female staff as at 31 March 2017. Total staff 317.				
Percentage of Freedom of Information requests responded to within required timeframes	%	100.00	100.00	
Latest Comment Year to date 14 Freedom of information requests were received, 5 during quarter 3. All Freedom of Information requests have been responded to in accordance with the timeframes outlined in legislation.				
Percentage of male staff	%	50.00	56.00	
Latest Comment 179 male staff as at 31 March 2017. Total staff 317.				

KPI		Unit	Target	Actual	
Percentage of service desk requests closed against open requests during a period.		%	97.50	98.50	
Latest Comment <i>No comments entered for this KPI</i>					
Percentage of the Control Self-Assessment actions reviewed annually		%	100.00	100.00	
Latest Comment <i>All control self-assessments reviewed July 2016.</i>					
Percentage of vehicles available for use		%	100.00	0.00	
Latest Comment <i>This KPI is not currently being tracked with accuracy and will be reviewed.</i>					

2.4.1.7	Award contracts through transparent process of advertisement and assessment	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
2.4.1.8	Administer and monitor contracts to minimize risk to Council	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
4.2.1.1	Oversee the management of Darwin Entertainment Centre	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
4.2.1.3	Plan for and manage the renewal of capital at the Darwin Entertainment Centre to ensure a safe and functional facility	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.1.3.1	Manage and implement Council's asset management for computer hardware and software assets	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.1.3.2	Deliver, maintain and support software applications and information systems to ensure the Council works effectively	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.1.3.5	Manage Council's data security requirements including back-ups, data redundancy and high availability	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.1.1	Develop and implement a whole of Council Workforce Planning Strategy	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.1.2	Manage industrial relations matters and implement solutions	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.1.3	Deliver graduate and traineeship opportunities	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.1.6	Develop, negotiate and implement Council's Enterprise Agreement	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.1.7	Develop and implement employee performance framework	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.1.9	Manage effective employment processes	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.2.1	Manage the City of Darwin Workforce Wellbeing Committee	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.2.2	Develop and implement Council wide employee training and development opportunities	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.2.2.3	Develop and implement a framework to build leadership capacity across Council	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.3.1.1	Continually implement, review and improve records management services, policies and processes	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.3.1.2	Administer and maintain Council's records Keeping System	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.3.1.3	Manage Council's requests and compliance relating to Freedom of Information (FOI)	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.3.1.4	Provide staff training and development to ensure they are equipped to meet their records keeping responsibilities	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.3.2.1	Provide strategic and operational leadership to the Corporate Services Department	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%
5.3.2.2	Attend Council and Committee Meetings to represent matters relating to Corporate Services	01/07/2016	30/06/2017	0%20%40%60%80%100%	0%20%40%60%80%100%	100%

5.3.2.3	Lead implementation of Council plans, policy and decisions which involve Corporate Services	30/06/2017	0% 20% 40% 60% 80% 100%	
5.3.2.4	Actively participate in the Executive Leadership Team to monitor and resolve organisation-wide issues and represent matters relating to Corporate Services	30/06/2017	0% 20% 40% 60% 80% 100%	
5.3.2.5	Facilitate and deliver organizational leadership and culture development program	30/06/2017	0% 20% 40% 60% 80% 100%	
5.3.3.1	Manage and implement a Council wide Corporate Risk Management Framework including Strategic and Operational Risk Assessments	30/06/2017	0% 20% 40% 60% 80% 100%	
5.3.3.2	Implement and manage Council's workplace health and safety management system	30/06/2017	0% 20% 40% 60% 80% 100%	
5.3.3.4	Implement and manage Council's Internal Audit program	30/06/2017	0% 20% 40% 60% 80% 100%	
5.3.3.5	Develop, implement and manage Council's Control Self-Assessment Program	30/06/2017	0% 20% 40% 60% 80% 100%	
5.3.3.6	Develop and maintain Council's Business Continuity Management systems	30/06/2017	0% 20% 40% 60% 80% 100%	
5.3.3.7	Develop and maintain Council's Emergency Response Plans	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.1	Manage Council's heavy and light fleet	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.1	Manage Council's revenue functions including generation of Council's rates revenue	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.2	Purchase and dispose of vehicles and plant resources	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.2	Develop and implement a financially sustainable long term financial plan, annual budget and quarterly budget reviews	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.3	Manage and deliver on Council's annual statutory and financial reporting obligations	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.3	Monitor fleet condition and level of usage	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.4	Provide preventative maintenance, repair and modifications to Council's fleet, ensuring compliance with safety regulations	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.4	Manage and provide advice on Council's borrowing and investments in accordance with adopted policy	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.5	Develop and implement sound asset accounting practices	30/06/2017	0% 20% 40% 60% 80% 100%	
5.5.1.6	Manage and monitor Council's Payables processes including Council's Procurement framework and payroll	30/06/2017	0% 20% 40% 60% 80% 100%	

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.4.1.2 Advise Council on Darwin's business, economic and tourist development and compliance in accordance with adopted policy	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Business Services							

Linked Related Plan(s):**Linked Action Filter(s):****Action Progress Comments**

The Lord Mayor hosted a meeting 9 March 2017 to progress the actions of the CBD summit resulting in the establishment of the Northern Australia Capital Cities Committee in conjunction with the Chief Minister of the NT.

The inaugural Vibrant CBD Sub Committee will meet on 23 May 2017

The following actions will be progressed through the .

Creating a cooperative atmosphere to enable the creation of a vibrant City

Action Details Progress

6.1.1 Re-establish the Northern Australia Capital City Committee to enable a comprehensive target development of the City. Meeting with the Lord Mayor and Chief Minister held on 13 December 2016. Advice from the Chief Minister that the committee will be re-established. City of Darwin CEO and NTG Chief of Staff held a meeting on 20 December 2016 to progress the format. NTG advice is NTG Architect is to be included.

6.1.6 Lobby Government to discontinue the fragmentation of administrative offices from the City. Work with the Property Council to develop a position paper to lobby the NT Government.

This matter will be referred to the Northern Australia Capital City Committee.

6.1.7 Form the Working Group to drive the timely implementation of the strategies with reporting back every three months. Working Group met on 26 October 2016 to allocate actions and report back on 9 March 2017. The follow up Summit is scheduled for 9 March 2017, invitations to be send in February.

6.1.10 Consider an activation fund to be sourced out of parking fees. Subject to a further report to Council in 2017 to form a policy position. Report to be presented to Council's budget workshop scheduled for 8 February 2017 and form part of the budget deliberations.

Activation and renewal – bring people back into the City

Action Details Progress

6.2.3 Review, promote, and activate the heritage assets through working with key agencies to create walking trails around the City. Progress with Tourism NT, DCWRA & NTG.

Meeting scheduled for January/February 2017 when all participants are available.

6.2.5 Develop themed walking trails throughout the City and adjacent precincts to connect points of interest. Progress with Tourism NT, DCWRA & NTG.

6.2.10 Target red tape and cost reduction for events/activities in the Mall. Work with DCWRA to clarify and remove red tape barriers.

6.2.11 Create a calendar of events & activities for the City and Waterfront. Work with DCWRA, AHA and Darwin Waterfront Corporation.

6.2.15 Expand the existing playground in the Mall and refresh.

Subject to a separate report to Council and funding requirements. CBD Stakeholder groups to be included in consultation.

6.2.16

Construct the Esplanade Play Space to attract families into the City.

Works will commence March 2017. Completion of works scheduled prior to school holidays in July 2017.

Improving safety, security and cleanliness

Action Details Progress

6.4.1 Lobby regarding the Banned Drinkers Register or similar programme. NTG has indicated the program will be reinstated in August 2017. To be progressed through the Northern Australia Capital City Committee.

6.4.5 Develop strategies with Larrakia peak bodies and other NGO's to minimise the impact of itinerants on the streets. Discussion on strategies with all stakeholders including the Public Places Services Collaboration Group (PPSCG). Arrange a meeting with the Public Places Services Collaboration Group (PPSCG) and key stakeholders of the CBD working group.

6.4.8 Determine strategic locations for mood and fairy lights to enliven the City. Trial of lighting scheduled for Civic Park early in the new year. Council currently receiving pricing.

6.4.9 Determine locations for safety lighting.

Review with Public Places Services Collaboration Group. Priority locations to be referred to the PPSCG for a Crime Prevention Through Environmental Design (CPTED) assessment. 6.4.11 Identify hot spots around the City which could be improved and work with property owners and retailers to improve the visual amenity of the buildings and their signs.

Progress in conjunction with Property Council, UDIA & Department of Infrastructure Planning and Logistics.Meeting scheduled for January/February 2017.

Parking, transport and creating a cycle friendly City

Action Details Progress

6.5.1 Gain stakeholder input to develop new initiatives to reward people who come into the City in the evening. To be developed with DCWRA. Meeting scheduled for January/February 2017.

6.5.5 Promote existing parking options on weekends and during events.

Awareness campaign currently underway. Awareness campaign completed in December 2016.

6.5.6 Promote road closures for special events. Ensure effective communication to all relevant stakeholders.

Communicated internally with relevant event and public relations staff to establish public awareness at relevant times / events.

Improving public spaces and creating a walkable attractive City

Action Details Progress

6.6.1 Revisit the concepts in the City Centre Master Plan and highlight those projects which assist with connectivity and the creation of shady, pedestrian friendly spaces and prioritise their implementation. Programs have been reviewed with report to be presented to Council. Report scheduled for Council Town Planning meeting on 7 March 2017.

6.6.2 Promote tree planting program to residents of the City to create awareness of activities. Further report to Council in March 2017. Further report to Council in 2017 with recommendations.

6.6.3 Review the need for solid cover in a range of locations in the Mall and determine an infill program.

Subject to further investigation and a future Council report. City Centre Master Plan project

Major City Projects

Action Details Progress

6.7.8 Form a cross Government working group to drive the Museum concept.

Identified in NT Treasury costings.

Alderman Palmer to progress with Assistant Minister Kirby.

6.7.9 Develop strategies by working with the Larrakia and other first nation peoples to ensure the Museum is representative of all Australian Indigenous arts.

6.7.10 Determine strategies around creating a living cultural space to the Museum which engages visitors and locals.

6.7.12 Building on strategies outlined in the 2014/15 Cruise ship attraction study.
Tourism NT Discussions to be held with Tourism Top End and NTG

Last Updated - 16/05/2017

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.4.1.4 Manage security services to protect Council owned property	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Business Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council's security contract is generally let for a period of two to three years and sourced through an open competitive process through Councils tender process to ensure value for money for Council.							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.4.1.7 Award contracts through transparent process of advertisement and assessment	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Business Services							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.4.1.6 Issue licences and permits for activities undertaken on Council land / property and liaise with community market organisers	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance	
Business Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council manages up to 100 leases, licenses and agreement in relation to various property holdings including alfresco and footpath dining							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.4.1.8 Administer and monitor contracts to minimize risk to Council	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance	
Business Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
All tender contracts awarded by Council follow its Contract Management System which is overseen by the Contracts Administrator through a tender evaluation process and signed off by the Chief Executive Officer							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.4.1.3 Negotiate the strategic purchase and disposal of land and property for Council	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance	
Business Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council regularly deals with property matters relating to its commercial leases in addition to property acquisitions and disposals. However due to their commercial in confidence nature are generally dealt within the confidential section of Council.							
Last Updated - 15/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.4.1.5 Negotiate and administer leases and agreements for Council's properties	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Business Services	Budget Type	Budget	YTD Budget	YTD Actual	YTD Actual	YTD Variance	
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council regularly deals with property matters relating to its commercial leases properties. However due to commercial in confidence of the agreements these are generally dealt within the confidential section of Council,							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.4.1.1 Provide business advisory services to Council on matters including investment property, business proposals and the use of council property for commercial activities	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Business Services	Budget Type	Budget	YTD Budget	YTD Actual	YTD Actual	YTD Variance	
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council regularly deals with property matters relating to its commercial leases in addition to property acquisitions and disposals. However due to their commercial in confidence nature are generally dealt within the confidential section of Council,							
Councils is currently dealing with renewal of significant commercial lease.							
Last Updated - 15/05/2017							
STRATEGY: 2.1.4 Provide parking facilities to meet community needs							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.1.4.1 Manage the operation and planning for City of Darwin on and off-street car parking facilities	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
On and Off Street Car Parking	Budget Type	Budget	YTD Budget	YTD Actual	YTD Actual	YTD Variance	
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
For the nine month period to March 2017 total on street parking utilisation is up 2% to 37%							
For the nine month period to March 2017 total off street parking utilisation is up 4% to 88%							
For the nine month period to March 2017 total car parking revenue has increased by \$67,438 compared to last year..							
Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.1.4.2 Develop and implement Council's pricing strategy for on and off-street car parking facilities	Liam Carroll - Manager Business Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
On and Off Street Car Parking		Budget		YTD Budget	YTD Actual	YTD Variance	
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Councils resolved not to increase on and off street car parking fees from 1 July 2016, it did however adjust some permit parking fees							
Options were repared with a 5% increase for 2016/17 for Council to consider who resolved not to increase fees.							
Last Updated - 16/05/2017							

Finance

STRATEGY: 5.5.1 Manage Council's business based on a sustainable financial and asset management strategy

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.3 Manage and deliver on Council's annual statutory and financial reporting obligations	Miles Craighead - Manager Finance	Completed	01/07/2016	30/06/2017	100%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Financial Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Audited Financial Statements for 2015/16 reviewed by the Risk Management & Audit Committee and adopted by Council 15 November 2016.							
Last Updated - 28/04/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.6 Manage and monitor Council's Payables processes including Council's Procurement framework and payroll	Miles Craighead - Manager Finance	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Financial Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council's accounts payable and procurement functions are ongoing. Effective 1 February Stores functions transferred to Infrastructure Services.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.5 Develop and implement sound asset accounting practices	Miles Craighead - Manager Finance	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Financial Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
This is continuous improvement. Previous improvements have been around componentization of assets and increasing the accuracy of depreciation expense. For this year, reviewing accounting for waste remediation. Accounting for waste remediation is progressing with infra & audit discussions.							
Last Updated - 28/04/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.4 Manage and provide advice on Council's borrowing and investments in accordance with adopted policy	Miles Craighead - Manager Finance	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Financial Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
External review of Council's investment internal controls was undertaken and a report provided to the Risk Management & Audit Committee. Recommendations substantially adopted. A 2nd external review of investing strategy undertaken and is in progress for reporting to Management. This including a draft revised policy was reported to RMAC during 3rd quarter. Now work in progress to go to Council.							
Last Updated - 28/04/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.2 Develop and implement a financially sustainable long term financial plan, annual budget and quarterly budget reviews	Miles Craighead - Manager Finance	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Financial Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Long Term Financial Plan 2016 - 2026 adopted.							
2016/17 budget review for first quarter presented November 2016.							
Plans in progress to develop the 2017/18 budget.							
Last Updated - 28/04/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.1 Manage Council's revenue functions including generation of Council's rates revenue	Miles Craighead - Manager Finance	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Financial Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Rates levied August 2016. Recoveries are following normal patterns although slightly unfavourable due to the economy.							
Last Updated - 28/04/2017							

Fleet

STRATEGY: 5.5.1 Manage Council's business based on a sustainable financial and asset management strategy

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.3 Monitor fleet condition and level of usage	Peter Newcombe - Manager Fleet	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Fleet Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.4 Provide preventative maintenance, repair and modifications to Council's fleet, ensuring compliance with safety regulations	Peter Newcombe - Manager Fleet	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Fleet Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.1 Manage Council's heavy and light fleet	Peter Newcombe - Manager Fleet	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Fleet Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.5.1.2 Purchase and dispose of vehicles and plant resources	Peter Newcombe - Manager Fleet	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Fleet Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Last Updated - 16/05/2017							

Information Technology

STRATEGY: 1.3.1 Develop and promote information and communication technology capabilities to service and inform the community

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
1.3.1.1 Implement the City of Darwin Digital Strategy	Richard Iap - Manager Information Technology	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget		YTD Budget		YTD Variance	
Information Technology							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Continued rollout of WiFi in open and public spaces, including Civic Park and greater coverage in the Mall.							
Reviewing projects as part in the IT Leadership group.							
Last Updated - 03/04/2017							

STRATEGY: 5.1.3 Research, implement and support technology and communication systems to deliver services more efficiently

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.1.3.5 Manage Council's data security requirements including back-ups, data redundancy and high availability	Richard Iap - Manager Information Technology	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Information Technology							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Changes to Systems to support new IT High Availability Plans							
Last Updated - 03/04/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.1.3.2 Deliver, maintain and support software applications and information systems to ensure the Council works effectively	Richard Iap - Manager Information Technology	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Information Technology							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Upgrades to Authority and Ci Anywhere implemented.							
last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator	
5.1.3.1 Manage and implement Council's asset management for computer hardware and software assets	Richard Iap - Manager Information Technology	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN	
Program Profile		Budget		YTD Budget		YTD Actual		YTD Variance
Information Technology								
Linked Related Plan(s):								
Linked Action Filter(s):								
Action Progress Comments								
Continuous upgrade of network and security systems.								
Last Updated - 03/04/2017								

Office of GM Corporate Services

STRATEGY: 4.2.1 Encourage the growth and development of the arts

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
4.2.1.3 Plan for and manage the renewal of capital at the Darwin Entertainment Centre to ensure a safe and functional facility	Diana Leeder - General Manager Corporate Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Darwin Entertainment Centre							
Linked Related Plan(s): Linked Action Filter(s):							
Action Progress Comments Asset management plan completed and implemented on an ongoing basis. Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
4.2.1.1 Oversee the management of Darwin Entertainment Centre	Diana Leeder - General Manager Corporate Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Darwin Entertainment Centre							
Linked Related Plan(s): Linked Action Filter(s):							
Action Progress Comments Overseeing the management of the Darwin Entertainment Centre is ongoing and on track. The project to replace the air conditioner is expected to be completed in the 2017/18 financial year. Last Updated - 16/05/2017							
STRATEGY: 5.3.2 Display contemporary leadership and management practices							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.2.4 Actively participate in the Executive Leadership Team to monitor and resolve organisation-wide issues and represent matters relating to Corporate Services	Diana Leeder - General Manager Corporate Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Office of GM Corporate Services							
Linked Related Plan(s): Linked Action Filter(s):							
Action Progress Comments GM participates in weekly Executive Leadership Team and Project Control Group meetings. Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.2.1 Provide strategic and operational leadership to the Corporate Services Department	Diana Leeder - General Manager Corporate Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Office of GM Corporate Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Carried out on an ongoing basis through leadership and management practices.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.2.5 Facilitate and deliver organizational leadership and culture development program	Diana Leeder - General Manager Corporate Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Office of GM Corporate Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Executive Leadership Team have endorsed an organizational vision - 'a high performing capital city' valued by the community. Delivering on the organizational vision will contribute to achievement of Council's overall strategic vision for the City. Management and staff have worked together to develop a plan and establish organizational values to improve organizational culture and performance.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.2.2 Attend Council and Committee Meetings to represent matters relating to Corporate Services	Diana Leeder - General Manager Corporate Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Office of GM Corporate Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Preparation and presentation of reports completed and Council and Committee meetings attended.							
Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator	
5.3.2.3 Lead implementation of Council plans, policy and decisions which involve Corporate Services	Diana Leeder - General Manager Corporate Services	In Progress	01/07/2016	30/06/2017	75%	75%		
Program Profile		Budget		YTD Budget		YTD Actual		YTD Variance
Office of GM Corporate Services								
Linked Related Plan(s):								
Linked Action Filter(s):								
Action Progress Comments								
Implemented on an ongoing basis.								
Last Updated - 16/05/2017								

STRATEGY: 5.3.3 Understand and manage Council's risk exposure

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.3.4 Implement and manage Council's Internal Audit program	Tony Simons - Team Coordinator - Risk, Audit and Safety	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget Type		Budget	YTD Budget	YTD Actual	YTD Variance
Risk, Audit and Safety							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Audit program for 2016/17 approved by Risk Management & Audit Committee in late 2015.							
Audit Program for 16/17 - 75% complete.							
Program currently on schedule.							
Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.3.1 Manage and implement a Council wide Corporate Risk Management Framework including Strategic and Operational Risk Assessments	Tony Simons - Team Coordinator - Risk, Audit and Safety	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Risk, Audit and Safety							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Risk Management Framework and all assessments reviewed in July 2016 and presented to Risk Management & Audit Committee.							
New integrated Risk Management and Control Self-Assessment software developed, installed and tested January 2017. Go live expected June 2017.							
Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.3.5 Develop, implement and manage Council's Control Self-Assessment Program	Tony Simons - Team Coordinator - Risk, Audit and Safety	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Risk, Audit and Safety							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Control Self-Assessment program undertaken April 2016 through to August 2016. Report was presented to Risk Management & Audit Committee October 2016.							
New integrated Audit and Risk Management software developed, installed and tested January 2017. Go live date expected June 2017.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.3.6 Develop and maintain Council's Business Continuity Management systems	Tony Simons - Team Coordinator - Risk, Audit and Safety	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Risk, Audit and Safety							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Business Continuity Plans have been upgraded to the latest version of the BC Program.							
New version of Business Continuity Software developed, installed and tested January 2017. Go live date expected June 2017.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.3.7 Develop and maintain Council's Emergency Response Plans	Tony Simons - Team Coordinator - Risk, Audit and Safety	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Risk, Audit and Safety							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Emergency Response Plans and associated documentation reviewed in total July 2016. Next review scheduled for July 2017.							
Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator	
5.3.3.2 Implement and manage Council's workplace health and safety management system	Tony Simons - Team Coordinator - Risk, Audit and Safety	In Progress	01/07/2016	30/06/2017	75%	75%		
Program Profile		Budget		YTD Budget		YTD Actual		YTD Variance
Risk, Audit and Safety								
Linked Related Plan(s):								
Linked Action Filter(s):								
Action Progress Comments								
Workplace Health and Safety Management System and associated documentation reviewed and updated July 2016.								
Last Updated - 16/05/2017								

People, Culture and Capability

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

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.1.2 Manage industrial relations matters and implement solutions	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Two IR matters have been raised year to date and both matters are now resolved.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.1.9 Manage effective employment processes	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
This program is ongoing as matters arise.							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.1.7 Develop and implement employee performance framework	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Existing framework will undergo a review late 2017. Consultation will be undertaken across all levels of the organisation by Manager Organisational Development.							
Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.1.1 Develop and implement a whole of Council Workforce Planning Strategy	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Much of the key strategies under the Workforce Planning Strategy remain ongoing with several key pieces for development in 2017.							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.1.6 Develop, negotiate and implement Council's Enterprise Agreement	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Negotiations to replace the existing Collective Agreement will commence early June 2017.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.1.3 Deliver graduate and traineeship opportunities	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Program is ongoing with new starters settling into their roles. Preparation is underway for the next round of traineeships.							
Last Updated - 16/05/2017							

STRATEGY: 5.2.2 Foster an engaged, healthy workplace culture focussed on value delivery

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.2.3 Develop and implement a framework to build leadership capacity across Council	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
This item is ongoing through the 52.2.3 around Leadership Development and other initiatives/works							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.2.1 Manage the City of Darwin Workforce Wellbeing Committee	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
The committee continues to promote Health Lifestyles through a variety of promotional material. Work is underway to launch the Step Up Challenge in July 2017.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.2.2.2 Develop and implement Council wide employee training and development opportunities	Jodie Wheeler - Manager People, Culture and Capability	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Employee Relations							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Leadership Essentials Program launched, this program has been well received and will form ongoing fixture in the training calendar.							
Promoted next intake of professional development.							
Last Updated - 16/05/2017							

Records and Information Management

STRATEGY: 5.3.1 Demonstrate good corporate practice and ethical behaviour

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.1.4 Provide staff training and development to ensure they are equipped to meet their records keeping responsibilities	Karlheins Sohl - Manager Records	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Records & Information Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Periodic staff training has been consistently provided throughout this period at all locations across Council.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.1.2 Administer and maintain Council's records Keeping System	Karlheins Sohl - Manager Records	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Records & Information Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council's Records Keeping System (Ci Anywhere) is continuing to improve in both functionality and quality control measures.							
Last Updated - 16/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.1.1 Continually implement, review and improve records management services, policies and processes	Karlheins Sohl - Manager Records	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Records & Information Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
A range of processes and services have seen improvements over this quarter including an increased capacity of document processing from the Records Management Unit and the continual development of CARR documents and reporting across council.							
Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.1.3 Manage Council's requests and compliance relating to Freedom of Information (FOI)	Karlheins Sohl - Manager Records	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Records & Information Management							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
All Freedom of Information request have been processed correctly and within their allocated timeframes.							
Last Updated - 16/05/2017							

Regulatory Services

STRATEGY: 1.2.2 Provide secure and clean public places and open spaces

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
1.2.2.3 Conduct enforcement activities to ensure compliance with Australian Road Rules, NT Traffic Regulations and Council By Laws	Steven Gatt - Manager Regulatory Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Regulatory Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Last Updated - 15/05/2017							

STRATEGY: 1.2.4 Provide for diversity of uses and experiences in public places and open spaces

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
1.2.4.4 Educate community about socially responsible pet ownership and By Laws for animal management	Steven Gatt - Manager Regulatory Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget		YTD Budget		YTD Variance	
Regulatory Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Last Updated - 15/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
1.2.4.3 Manage and implement Council's animal management program	Steven Gatt - Manager Regulatory Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Regulatory Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
During the last quarter Council has been developing an Animal Management Strategy.							
A workshop regarding the Regulatory Services Program was held during the quarter.							
The strategy is expected to be presented to Council during the 4th quarter.							
Last Updated - 16/05/2017							

STRATEGY: 1.2.5 Participate and partner in activities that contribute to a safer Darwin.

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
1.2.5.1 Provide an after-hours emergency call-out service for attacking or dangerous dogs	Steven Gatt - Manager Regulatory Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile Regulatory Services							
Linked Related Plan(s): Linked Action Filter(s):							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
1.2.5.3 Monitor and report instances of illegal alcohol consumption and associated activities to the appropriate authorities	Steven Gatt - Manager Regulatory Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile Regulatory Services							
Linked Related Plan(s): Linked Action Filter(s):							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
1.2.5.2 Conduct routine patrols of public areas to ensure public facilities, parks and beaches are being used for lawful purposes	Steven Gatt - Manager Regulatory Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile Regulatory Services							
Linked Related Plan(s): Linked Action Filter(s):							
Last Updated - 15/05/2017							
STRATEGY: 2.1.4 Provide parking facilities to meet community needs							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
2.1.4.1 Manage and maintain compliance with Council's On and Off-Street Parking Control Program	Steven Gatt - Manager Regulatory Services	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile Regulatory Services							
Linked Related Plan(s): Linked Action Filter(s):							
Last Updated - 15/05/2017							

3RD QUARTER

2016/17



City of Darwin

Office of the Chief Executive KPI Report

Jul 16 - Mar 17

Costs of Services for the period ended 31 March 2017							YTD v	
	Full Original Budget \$'000	Full Amended Budget \$'000	Recommended Variations \$'000	Projected Result \$'000	YTD Actual \$'000	Projected Result %	Notes	
% of year elapsed								75%
Chief Executive Officer	Attachment B-1							
Income								
Office of the Chief Executive	-	3	-	3	3	100%		
Climate Change	50	50	-	50	51	102%		
Strategy & Outcomes	15	15	-	15	-	0%		
Total income	65	68	-	68	54	80%		
Expense								
Office of the Chief Executive	768	781	-	781	595	76%		
Climate Change	546	549	-	549	428	78%		
Communications & Engagement	839	1,003	-5	998	557	56%		
Governance	1,531	1,531	-	1,531	929	61%		
Organisational Development	302	302	-45	257	161	63%		1
Strategy & Outcomes	361	385	5	390	259	66%		
Total expense	4,347	4,550	-45	4,505	2,929	65%		
Net surplus (-cost)	-4,282	-4,482	45	-4,437	-2,875	65%		

Note on recommended variations:
1. Transfer to Employee Relations for Leadership Essentials training program.

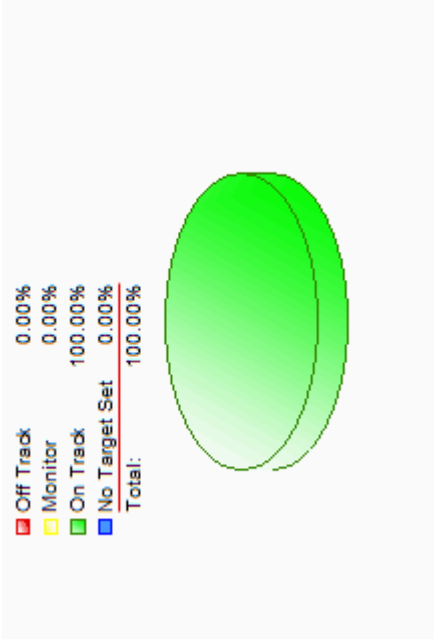
Office of the Chief Executive

Overview

KPI Status

	>90% on track or better
	<90% and >70% marginal variance
	<70% off track or requires attention

Action Status



Summary KPI

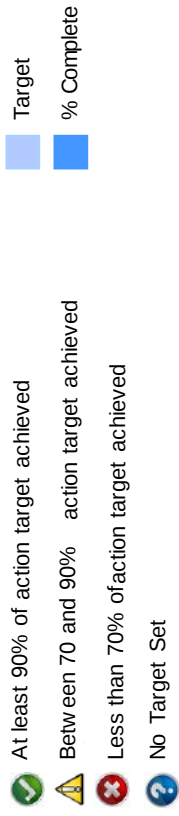
KPI	Unit	Target	Actual	
> 300,000 website 'hits' per annum	#	225,000.00	259,698.00	
Latest Comment 110,533 website hits were recorded during the 2nd quarter. Year to date total 259,698				
> 70% community agreement that Council consults with the community sufficiently	%	70.00	16.00	
Latest Comment Satisfaction ratings with Council consultation for 2016/17 were mixed. 16% of respondents rated satisfaction as high, however a further 30% indicated they were neither satisfied nor dissatisfied and 43% indicated that they were dissatisfied. The primary reason for dissatisfaction was the view that Council needs to keep the community better informed or consult more. Other reasons indicated include: - Council needs to be more honest and transparent or information can be misleading (26%) - Council needs to publicise or promote consultation sessions and inform of us of the results (24%) Council's revised Community Engagement Policy was presented at the first Ordinary Meeting in May 2017 for community consultation.				
Increase in the number of followers on Facebook	%	22.50	35.95	

Latest Comment

Followers as at 30 June 2016 - 4,638
Followers as at 30 September 2016 - 5,401
Followers as at 31 December 2016 - 5,842
Followers as at 31 March 2017 - 6,432

KPI	Unit	Target	Actual	
Number of media releases with positive media coverage	#	80.00	90.47	
Latest Comment				
During Quarter 2, 42 media releases were issued. 38 media releases received positive media coverage.				
Number of successful grant funding applications	%	60.00	0.00	
Latest Comment				
4 applications were submitted during the Quarter under the Department of Local Government Special Purpose Grants Program, Family Safe Environment Fund, Seniors Month Grant Fund and Federal Government Building Better Regions Fund. Council has not yet received notification of success or otherwise in relation to these applications. 0% of funding applications have been successful at this stage during the 3 rd quarter.				
Percentage of current term policy review complete in 2016/17	%	100.00	84.34	
Latest Comment				
13 policies remain outstanding for review at the end of the 3 rd quarter.				

Action Summary



Action	Start Date	End Date	
5.3.1.1 Implement the City of Darwin Governance Framework	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.1.2 Manage Council's compliance with statutory obligations for Council Meetings, including by-law s	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.1.3 Administer Council meetings and activities	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.2.1 Manage and provide high level executive support to the Office of the Lord Mayor and Chief Executive Officer	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.2.2 Provide administrative support to Elected Members	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.4.1 Develop and implement Elected Member, Chief Executive Officer and staff communication mediums	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.4.3 Develop and coordinate the delivery of a whole of Council community engagement program	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.4.6 Develop and manage Council's social media platforms and websites	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.5.1 Manage and implement Council's Communications Strategy and develop an annual Communications Plan	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.5.2 Manage Council's reputation through effective media management strategies, public relations and marketing	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%
5.3.5.3 Manage marketing and promotion of Council's brand including sponsorship arrangements	01/07/2016	30/06/2017	 0% 20% 40% 60% 80% 100%

Action Details

Office of the Chief Executive
Office of the Chief Executive

STRATEGY: 5.3.4 Encourage community participation by engaging, communicating and working in partnership with the community

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.4.6 Develop and manage Council's social media platforms and websites	Mark Blackburn – Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance	
Communications and Engagement							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council's website development project is progressing well and scheduled to be released early May 2017. The new website will provide improved and new functionality, easy and robust search and up-do-date best practice in user experience.							
Social Media continues to perform well across all platforms with Facebook the most popular of the three platforms.							
Facebook followers at the end of March 2017 were 6,432. This was an increase of around 10% during the quarter resulting in a 38.7% increase year to date.							
Instagram statistics are available in real-time only, likes have continued to increased steadily. There were 1,000 Instagram likes in January 2016, 2,060 in December 2016 and 2,303 in early April 2017. Instagram likes have more than doubled over the first three quarters of the financial year.							
Twitter followers at the end of Quarter 3 were 4,615, up from followers in the previous quarter of 4,398 Twitter is unable to provide full analytics of follower, however numbers continue to increase.							
Last Updated - 16/05/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.4.3 Develop and coordinate the delivery of a whole of Council community engagement program	Sheree Jeeves - Senior Community Engagement Officer	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Communications and Engagement							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
There were 9 community engagement projects completed between January to March 2017 (a total of 29 completed for the 2016/17 financial year to date). There is a further 8 community engagement projects underway. The major community engagement projects coming up are:							
-Gardens Oval Lights							
-Draft Animal Management Plan							
-Cavenagh / Bennett Street intersection upgrade							
-Nightcliff Jetty Car Park							
Last Updated - 11/04/2017							

STRATEGY: 5.3.5 Increase community awareness of the role and achievements of Council

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.5.2 Manage Council's reputation through effective media management strategies, public relations and marketing	Mark Blackburn – Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Communications and Engagement							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
The majority of media releases picked up by the media have been positively received. Several hot topics that did receive negative attention included the Daly Street roundabout, modifications made to the scramble crossings in the CBD and the announcement of the successful tender for the Bicentennial Park community play space.							
The CBD Summit in October received mostly positive coverage and the recent working group workshop received some negative coverage.							
Christmas in the Mall, the 75th Anniversary of the Bombing of Darwin and the Mindil Pop Up Market in The Mall received positive coverage.							
Most public relations and marketing campaigns were positively received.							
Last Updated - 24/04/2017							

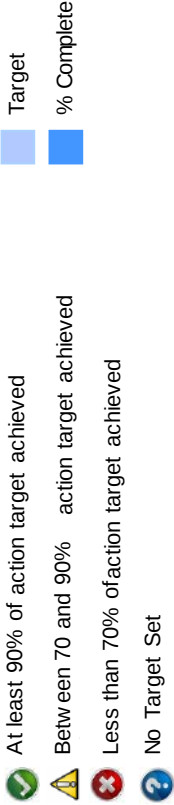
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.5.3 Manage marketing and promotion of Council's brand including sponsorship arrangements	Mark Blackburn – Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Communications and Engagement							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Current sponsorships are tracking well in half of 2016/17. No new ongoing Sponsorship Agreements were entered into for the 2016/17 year.							
Continued to ensure Council received sponsor benefits during the quarter. NT Masters Athletics Championships were given \$2,500 sponsorship from the sponsorship contingency fund for this year's event only. (Also Tactile Arts Dragonfly Craft Fair in Bicentennial Park \$1000 from contingency)							
New brand revisions continue to be rolled out and implemented.							
New signage produced for various locations and events.							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.5.1 Manage and implement Council's Communications Strategy and develop an annual Communications Plan	Mark Blackburn – Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile							
Communications and Engagement							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council's Communications Strategy is being satisfactorily managed and implemented. Standouts include significant increases in social media followers (Facebook, Instagram and Twitter), a suite of TVCs produced and aired over past year.							
Changes with Facebook content include more quirky style with posts, increase in video content including Facebook live with the Lord Mayor.							
Pro-active media includes working with NT News around Council's CBD Summit and organisation change, and meeting regularly with NT News ahead of Council meetings to explain issues.							
Major campaigns of the past year have all included new TVCs and other materials. Campaigns included: Recycle for Good, Share the Road/ Share the Path, Bombing of Darwin Day 75th Anniversary.							
Last Updated - 24/04/2017							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.1.3 Administer Council meetings and activities	Mark Blackburn – Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Governance							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
All Council meetings and activities were carried out according to schedule.							
Last Updated - 05/04/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.1.2 Manage Council's compliance with statutory obligations for Council Meetings, including by-laws	Mark Blackburn – Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Governance							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council and committee meetings operated in accordance with By-Laws and Meeting Policy. Policy 043 - Meetings and ancillary documentation is currently under review with workshops held with Elected Members. The Policy is scheduled to be presented to Council during the 4th quarter.							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.1.1 Implement the City of Darwin Governance Framework	Mark Blackburn - Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Governance							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Council continues to operate in accordance with the Governance Framework to ensure City of Darwin manages its responsibilities efficiently, effectively and in the best interests of the community. The Framework document is currently being updated in preparation for the new Council following the August 2017 local government elections.							
Last Updated - 15/05/2017							

STRATEGY: 5.3.2 Display contemporary leadership and management practices

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.2.2 Provide administrative support to Elected Members	Mark Blackburn – Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Governance							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Elected Members provided with ongoing administration and support in accordance with adopted policy.							
Last Updated - 15/05/2017							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.2.1 Manage and provide high level executive support to the Office of the Lord Mayor and Chief Executive Officer	Mark Blackburn - Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Governance							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
High level support provided to the Office of the Lord Mayor and Chief Executive Officer. Hosted National Local Government Chief Officer's Group Conference and Council of Capital City Lord Mayors Meeting and Annual General Meeting October 2016.							
Preparations are underway for the August 2017 local government elections. Council's Caretaker Policy was reviewed and adopted during quarter 3.							
Last Updated - 15/05/2017							
STRATEGY: 5.3.4 Encourage community participation by engaging, communicating and working in partnership with the community							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.4.1 Develop and implement Elected Member, Chief Executive Officer and staff communication mediums	Mark Blackburn - Executive Manager	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Governance							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
Friday Flyer to Elected Members was delivered regularly for the period July 2016 to March 2017.							
Last Updated - 15/05/2017							

Action Summary



Action	Start Date	End Date
1.4.1.1 Provide high level support and coordination of Council's role on; Northern Australia Capital City Committee (NACCC); Top End Regional Organisational of Council's (TOPROC); and Council of Capital City Lord Mayors (CCCLM)	01/07/2016	30/06/2017
5.1.3.1 Manage Council's statistical profiles and analysis	01/07/2016	30/06/2017
5.3.2.1 Develop and implement a strategic approach to seeking external grants and Council recognition through awards	01/07/2016	30/06/2017
5.3.2.2 Develop and implement Council's Performance Management Framework including regular public reporting of performance against Council's Strategic and Municipal Plans	01/07/2016	30/06/2017
5.3.3.1 Manage Council's Legislative Compliance Program and Policy Framework	01/07/2016	30/06/2017

Action Details

Office of the Chief Executive

Strategy and Outcomes

STRATEGY: 1.4.1 Actively engage with all levels of government to coordinate efficiencies and develop opportunities

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
1.4.1.1 Provide high level support and coordination of Council's role on; Northern Australia Capital City Committee (NACCC); Top End Regional Organisation of Council's (TOPROC); and Council of Capital City Lord Mayors (CCCLM)	Vanessa Green - Manager Strategy & Outcomes	In Progress	01/07/2016	30/06/2017	75%	75%	
Program Profile		Budget	YTD Budget	YTD Actual	YTD Variance		
Strategic Services							

Linked Related Plan(s):

Linked Action Filter(s):

Action Progress Comments

The first NACCC Meeting with the new Government following the NT Government Election was held in February 2017. Work is progressing to establish the Vibrant CBD Sub-Committee which will focus on CBD revitalization. Council is continuing to work with the NT Government to progress an agreement with the Federal Government City Deals program.

Advocacy Papers on behalf of TOPROC were developed in response to the Federal and Territory Government Elections. The first meeting for 2017 was scheduled to be held 19 April 2017.

Lord Mayor completed her role as Chair of CCCLM in December 2016. The CCCLM AGM was held in Darwin on 13 and 14 October 2016. Lord Mayor and Council's Executive Manager attended political meetings in Canberra in mid-November 2016. The Prime Minister confirmed that all Capital Cities would be in receipt of a City Deal. Lord Mayors discussed the four policy priorities; Economic Development, Infrastructure, Climate Action and City Resilience. Policy papers were developed and presented to Federal Government members including the Prime Minister. The last meeting was held in March 2017 with discussions on advocacy strategies for Infrastructure, City Deals, Smart Cities, Amendments to the Telecommunications Act and NBN Rollout.

Last Updated - 15/05/2017

STRATEGY: 5.1.3 Research, implement and support technology and communication systems to deliver services more efficiently

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.1.3.1 Manage Council's statistical profiles and analysis	Vanessa Green - Manager Strategy & Outcomes	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile		Budget		YTD Budget	YTD Actual	YTD Variance	
Strategic Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
.ID (the population experts) provides statistical and economic analysis of the Darwin municipality through Profile Id, Economy Id and Atlas Id, which are all available through Councils website.							
.ID (the population experts) was on site in September 2016 to provide training to interested members of staff.							
City of Darwin Economy ID profile statistics were updated during the 3rd quarter. Also during the 3rd quarter Council renegotiated its ongoing subscription with .ID (the population experts)							
These resources greatly contribute to Council's grant application process and provide a sound basis for statistical and research material.							
Last Updated - 15/05/2017							

STRATEGY: 5.3.2 Display contemporary leadership and management practices

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator				
5.3.2.2 Develop and implement Council's Performance Management Framework including regular public reporting of performance against Council's Strategic and Municipal Plans	Vanessa Green - Manager Strategy & Outcomes	In Progress	01/07/2016	30/06/2017	60%	75%	 YELLOW				
Program Profile		Budget Type		Budget		YTD Budget		YTD Actual		YTD Variance	
Strategic Services											
Linked Related Plan(s):											
Linked Action Filter(s):											
Action Progress Comments											
2015/16 Annual Report was endorsed by the Risk Management and Audit Committee in October 2016 and adopted by Council 15 November 2016. The report was forwarded to the Minister for Local Government as required by Legislation.											
Quarterly Performance Reporting against the Strategic Plan and Municipal Plan has commenced with Quarter 1 reports presented to the November 2016 round of Committees.											
Quarter 2 reports were delayed due to systems issues and presented with the Quarter 3 reports in May 2017. A 6 month review of Council's 'Evolving Darwin Towards 2020' Strategic Plan will also be presented to the Corporate and Economic Development Committee Meeting scheduled for May 2017.											
Last Updated - 15/05/2017											

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.2.1 Develop and implement a strategic approach to seeking external grants and Council recognition through awards	Michael Cormack - Strategic Project Officer	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Strategic Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
During Quarter 3 funding applications were submitted for Seniors Week, Special Purpose Grant Funding for Building Silent Rooms at Casaurina Library and Family Safe Environment Funding to renovate the basketball court in Rapid Creek Park (Crisp Street).							
In March 2017, Council submitted an application for funding under the Building Better Regions Fund for the Shoal Bay Waste Management Facility Leachate Treatment System.							
There is greater cost pressures on Federal and Territory Governments at present and as a result funding opportunities have decreased during the current financial year.							
Last Updated - 15/05/2017							
STRATEGY: 5.3.3 Understand and manage Council's risk exposure							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	Indicator
5.3.3.1 Manage Council's Legislative Compliance Program and Policy Framework	Vanessa Green - Manager Strategy & Outcomes	In Progress	01/07/2016	30/06/2017	75%	75%	 GREEN
Program Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
Strategic Services							
Linked Related Plan(s):							
Linked Action Filter(s):							
Action Progress Comments							
70 (85%) of the 83 policies have been reviewed to the end of Quarter 3. All but two of the remaining policies are scheduled for review by 30 June 2017. The remaining two policies relate to Elected Member provisions and will be reviewed post August 2017 elections.							

OPEN SECTION

RMAC07/6

Risk Management & Audit Committee Meeting – Friday, 7 July 2017

11. INFORMATION ITEMS

11.1 Outstanding Audit Issues Register 07/07/17 Common No. 422690

*The Outstanding Audit Issues Register is **Attachment A**.*

OAI NO.	AUDIT NAME & AUDITOR	AUDIT ISSUE & REFERENCE	RESPONSIBLE OFFICER	AGREED COMPLETION DATE	IMPLEMENTATION STATUS
145	Asset Management Audit Deloitte March 2015	1 On implementation of Asset Management System, develop and implement new procedures, and update existing draft procedures, where relevant in consultation with Finance.	Manager Technical Services in consultation with Manager Finance	July 2018	Updated list and status provided as per issue item number 2. Updates and new procedures are occurring as required, specifically for issue item #6 Deferred to July 2018 per RMAC 27 May 2016
		3 Develop, finalise and implement individual asset management plans, taking into account relevant recommendations from the 2012 asset sustainability review report (refer to Section 4 for more information) a) Assign roles and responsibilities resulting from the plans and communicate these to relevant staff members b) Review asset management plans on a regular basis c) Ensure future plans indicate likely service level and risk trends resulting from long term financial plan d) Ensure that strategy plan and management plan performance measures align with AMP service levels e) Continue to develop additional AMP scenarios as required to align with the long term financial plan and show service outcomes and risk consequences of long term financial plan resourcing levels f) Update AMPs with state of the assets service levels for condition, function and capacity as per summary dashboards. g) Continue to develop additional AMP scenarios as required to align with the long term financial plan and show service outcomes and risk consequences of long term financial plan resourcing levels	Manager Technical Services	July 2017	Drafts progressing Deferred to July 2017 per RMAC 27 May 2016
		4 Introduce state of the art reporting for assets in the annual report			
		6 Asset Finder is not integrated to Civica Authority at this stage. a. Further considerations are necessary for the future regarding detailed procedures and degree of integration between accounting and asset management systems h) Implementation date is notional at this stage as it is entirely dependent on all current asset data being entered into Asset Finda	Manager Technical Services in consultation with Manager Finance	July 2018	Training undertaken April 2016 to improve knowledge and understand practical aspects of implementation. Updated implementation plan being prepared. Deferred to July 2018 per RMAC 27 May 2016
		2. Conduct a review of the Investment procedures and include in the document future review dates and last approval date.	Manager Finance	August 2017	
		1 That the long-outstanding balances in the trust account be investigated and amounts be refunded to individuals and/or entities where deemed appropriate.	Manager Finance	31 March 2017	
146	Investments Audit KPMG, February 2016	2 That the internal policies and procedures regarding the trust account are reviewed, amended where appropriate and followed accordingly.	Manager Finance	31 March 2017	
147	Financial Statements Audit	3.4.1.2 Finalise and implement the standard for the Contractor Management, including: • Contractor Induction program • Communication of WHS accountabilities and responsibilities	Coordinator Risk & Safety	September 2016	Contractor Management Standard being developed
148	Workplace Health & Safety Management	3.4.6.7 Implement the draft Contractor Management WHS Standard to ensure that contractors engaged to undertake work for the City of Darwin are managed. This should include: • determination of hazards and risks when identifying contractor works • requesting WHS information from contractors at the tender/engagement phase • reviewing contractor WHS information and risk assessments prior to commencement of works • contractor induction, training and supervision • reviewing contractor performance	Coordinator Risk & Safety	March 2017	

CITY OF DARWIN RISK MANAGEMENT & AUDIT COMMITTEE REGISTER OF OUTSTANDING AUDIT ISSUES						EFFECTIVE DATE: 31 March 2017
OAI NO.	AUDIT NAME & AUDITOR	AUDIT ISSUE & REFERENCE	RESPONSIBLE OFFICER	AGREED COMPLETION DATE	IMPLEMENTATION STATUS	
149	IT Security Internal Audit	• ongoing consultation with contractors, and • managing contractor poor performance. Consider adopting a software program to support the collection and management of contractor data.				
		1. <u>Endpoint Protection.</u> Council will implement systems and controls that will include: - AppLocker, which will whitelist programs and will block users from installing and running non approved applications and programs. - New Standard Operating Environment to be installed on Council's new workstations due in 2017-2018, which will include tighter controls on administrative privileges and will stop users running/installing programs/applications using the Windows admin role. - Council will investigate systems that will restrict the use of USB ports and drives, and improved monitoring of user data movements including data loss.	Manager IT	June 2018		
		2. <u>User Security Awareness and Training.</u> Best security controls and practices start with end user and staff education and awareness. Council will implement improved staff education and awareness programs that will address: - Sharing of user access credentials. - Storing of Council data on non-secure storage devices and USB drives. - Correct storage of sensitive information into network drives and record systems. - Council will also update staff on their IT and information security handling procedures.	Manager IT	August 2017		
		3. <u>Security Governance and Oversight.</u> - Council agrees to implement an overall Information Technology Security framework. - The Information Technology Strategic Leadership Committee will also consider incorporating changes to its Terms of Reference to including security responsibilities and metrics.	Manager IT	July 2018		
		4. <u>IT Disaster Recovery and Resilience</u> - Council agrees that continuous improvements must be made to IT systems. Works will coincide with next IT server storage upgrades due in the calendar year of 2017. - Secondary server room will need to be investigated (on-prem / off-prem). - Cross training will be improved within the IT team to reduce reliance on key IT staff like System Admins.	Manager IT	January 2018		
		5. <u>Remote Access Management</u> - Current systems and hardware do not support two factor authentication. New hardware will be investigated to support two authentication. - Council will investigate processes that will remote users security including locking down systems from IP's, and monitoring systems. - Council will also discuss with third party providers changes to access to include individual accounts for their technicians.	Manager IT	July 2017		
		6. <u>Vulnerability Management</u> - Council agrees that improvements should be made to patch management. - IT will implement better controls to ensure patching of systems are done on a more regular basis. This may include changes to IT roles and require more resources to implement.	Manager IT	September 2017		

CITY OF DARWIN RISK MANAGEMENT & AUDIT COMMITTEE REGISTER OF OUTSTANDING AUDIT ISSUES					EFFECTIVE DATE: 31 March 2017	
OAI NO.	AUDIT NAME & AUDITOR	AUDIT ISSUE & REFERENCE	RESPONSIBLE OFFICER	AGREED COMPLETION DATE	IMPLEMENTATION STATUS	
		7. Security Incident Response - Council will work on implementation of an IT Security Incident Response procedure which will include incident roles, responsibilities and communication methods.	Manager IT	August 2017		
		-				
		-				

OPEN SECTION

RMAC07/7

Risk Management & Audit Committee Meeting – Friday, 7 July 2017

12. GENERAL BUSINESS