

Risk Management Framework

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1. Introduction

The District Council of Mount Remarkable is committed to an integrated approach to risk management to assist us in setting appropriate strategies, achieving our objectives and making informed decisions, in the best interests of our community.

Council recognises that managing risk is part of governance and leadership, is fundamental to how the organisation is managed at all levels and will contribute to continuous improvement of its management systems.

Council's **Vision** states:

This is a remarkable community to be a part of; a remarkable place to live, and a remarkable place to work or be in business. We're a 'can do' Council and what we do, we strive to do remarkably well.

The risk management process is not an isolated function and can be applied to any activity, including decision making, at all levels. Effective identification, analysis, evaluation and treatment of defined risks are critical to Council achieving its objectives and meeting overall community expectations.

2. Purpose

This Framework outlines the requirements and processes supporting Council's Risk Management Policy in order to create and protect value by improving performance, encouraging innovation and supporting the achievement of Council's objectives.

This Framework will:

- a) Align with the objectives of the Risk Management Policy;
- b) Establish roles and responsibilities for managing risk;
- c) Document a standardised, formal and structured process for assessment, treatment and monitoring of identified risks;
- d) Encourage innovation by integrating risk management into the strategic and operational processes across all departments of Council;
- e) Assist Council in maximising its opportunities, whilst minimising any negative impacts identified during the risk management process;
- f) Ensure that all risks outside the defined risk tolerances are escalated to the relevant manager and additional treatment options implemented;
- g) Sets out reporting protocols for relevant risk information to be provided to Council, Audit and Risk Committee, Leadership Team and across all Council departments; and Assist in the development of a continuous improvement culture by integrating risk management processes into all Council functions.

3. Local Government Risk Services (LGRS)

From the perspective of the Local Government sector in South Australia, certain insurable risks have been transferred to a number of self-managed Schemes managed by Local Government Risk Services (LGRS) via payment of an annual contribution. The Schemes are:

- a) **Local Government Association Mutual Liability Scheme (LGAMLS)** for the purposes of Civil Liability coverage & claims management;
- b) **Local Government Association Workers Compensation Scheme (LGAWCS)** for the purposes of workers compensation coverage & claims management; and
- c) **Local Government Asset Mutual Fund (LGAMF)** for the purposes of asset and fleet coverage and claims management.

As a Member of all the above Schemes and Fund, Council must ensure that WHS, asset and risk management protocols are developed, endorsed and implemented across all departments.

LGRS provides Council with a range of fully funded and subsidised programs and support services to assist in managing risk across the organisation.



Risk Management Principles

The Australian Standard for Risk Management - Guidelines (ISO 31000:2018) describes risk as:

“...the effect of uncertainty (either positive, negative or both) on objectives...”

The goal is not to eliminate all risks, but rather to manage risks involved in Council's functions and services and to create and protect value for our stakeholders and community.

ISO 31000:2018 is based on the following eight principles, which underpin this Framework and guide how we manage risk across Council:

Integrated	An integral part of all organisational processes
Part of decision-making	Aids decision-makers in making informed choices and identifying the most effective course of action
Structured and comprehensive	Contributes to efficiency and to consistent and comparable results
Best available information	Based on historical and current information, as well as on future expectations, taking into account any limitations associated with such information and expectations.
Customised	Aligns with the internal and external context related to our objectives
Human and cultural factors	Recognises that the behaviour and culture can significantly influence the achievement of objectives
Inclusive	Requires appropriate and timely involvement of stakeholders to enable their knowledge, views and perceptions to be considered
Dynamic	Anticipates, detects, acknowledges and responds to changes in Council's internal and external contexts that result in new risks emerging and others changing or disappearing
Continual improvement	Learning and experience drives continuous improvement

4. Risk Management Framework



5.1 Leadership and commitment

Council and its Leadership Team will demonstrate leadership and commitment to ensure that risk management is integrated into all organisational activities by:

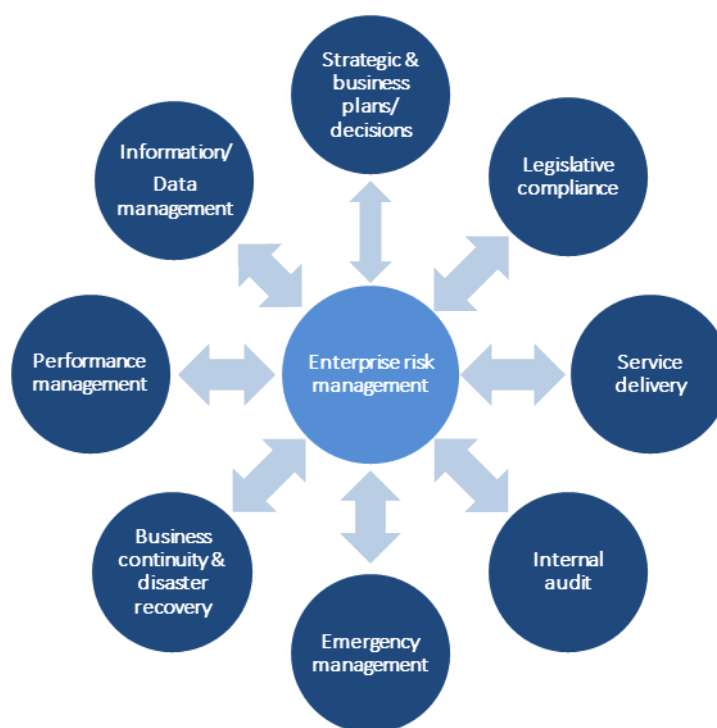
- Developing and implementing risk management policy, framework and supporting tools and processes;
- Allocating appropriate resources for risk management; and
- Assigning roles, authorities, responsibilities and accountabilities with respect to risk management and communicating these at all levels of the organisation.

5.2 Integration

This Framework provides the methods and processes Council use to manage risks and identify opportunities in every part of the organisation.

Governance guides the direction of the organisation and provides the rules, processes and practices necessary for Council to achieve its objectives. Management structures that define risk management accountability and oversight roles across the organisation are critical to achieving the strategy and objectives required for Council to achieve sustainable performance and long-term viability.

Risk Management is not just about the risk assessment process nor is it a stand-alone discipline. In order to maximise risk management benefits and opportunities, it requires integration through Council's entire operations, as follows:



5.2.1 Enterprise Risk Management

Enterprise risk management encompasses Strategic and Operational Risk Management.

Strategic Risks are identified by reference to both the external environment and Council's Community Plan 2021-2031 (known as Strategic Plan) objectives. Strategic risks are monitored by the Leadership Team and Elected Member body, with all risk assessments captured in the Risk Register and recorded within Council's Skytrust Management System.

Operational Risks arise from Council's day-to-day departmental functions and operations to deliver essential services. Operational risks are monitored by Council's Leadership teams.

5.2.2 Strategic & Business Planning/Decision Making

Strategic and Business Planning, (which includes long-term financial planning and annual budgeting,) must adequately consider the risks facing Council in setting and pursuing its objectives and the effectiveness of systems that are in place to manage and communicate those risks.

Risk Management will be integrated into Council's governance structures, including decision making. Risk assessment and management processes will be incorporated into Council and Committee reports, where there is a potential impact on achievement of Council's objectives or on the wider community. Council members are expected to:

- a) give adequate consideration to risks when setting Council's objectives;
- b) understand the risks facing Council in pursuit of its objectives;
- c) oversee the effectiveness of systems implemented by the organisation to manage risk;
- d) accept only those risks that are appropriate in the context of Council's objectives; and
- e) consider information about such risks and make sure they are properly communicated to the appropriate stakeholder or governing body.

5.2.3 Legislative Compliance

The Local Government Act (SA) 1999 applies to the functions of Councils in South Australia, however, due to the diversity of functions and services provided by Council, a range of other Acts, Regulations and Codes of Practice and Standards also apply.

Council has implemented a Work Health and Safety (WHS) system to manage health and safety risks to workers, Council Members and members of the public, in accordance with the WHS Act (SA) 2012. WHS is a critical component of Council's risk management system and addresses risks and hazards to workers whilst in the workplace.

5.2.4 Service Delivery

Council's risk exposures vary according to the functions, facilities and services it provides and these will inevitably change over time. Council's planning processes will address both the risks associated with provision of functions, facilities and services, (such as capacity and resources,) and risks arising from their delivery, (such as public safety and community reaction).

5.2.5 Internal Audit

Internal audit is an independent, objective assurance and consulting activity designed to add value and improve the organisation's operations. It helps Council to accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. The process of internal audit may result in the identification of new risks or more effective treatments for existing risks.

5.2.6 Emergency Management

Council plans for, and undertakes, prevention, preparedness, response and recovery activities to support its community in the event of emergencies and natural disasters. This process includes alignment and co-operation with lead agencies and other Councils in the region as well as providing information and training for workers to protect them from harm whilst responding to emergencies and natural disasters.

5.2.7 Business Continuity Plan

Council is obliged to ensure that critical business functions continue after a business interruption. Council has developed the following plans, taking into consideration reasonably foreseeable risks and their potential impact on achievement of Council's objectives.

The Business Continuity Plan (BCP), which is designed to manage risk by limiting or reducing the impact of a disruption, (such as severe weather event or loss of key personnel), and enable the resumption of critical business functions/services of Council following a disruption.

The Information Technology Disaster Recovery Plan is incorporated into the BCP, which is intended to protect and recover Council's Information Technology infrastructure and data in the case of a disruptive event, (such as cyberattack or loss of infrastructure) by defining actions to be taken before, during and after an event.

Risk Management Framework

5.2.8 Performance Management

Both risk management and performance management start with the establishment and communication of corporate goals and objectives and development of strategies which are then cascaded throughout the organisation. Appropriate measures and reporting structures will be put in place to monitor the effectiveness of Council's risk management processes, (at an individual and organisational level), which will in turn assist in identifying gaps or emerging risks. The performance of Council's risk management program will be measured through three distinct categories:

Measure	Frequency
Compliance with the policy and related documentation	Annual
Foreseeable risks are identified and controlled within Council's risk appetite and tolerances, where reasonably practicable	Biannual
Tangible improvement in Council's risk evaluation outcomes and risk maturity modelling	Biennial

5.2.9 Information/Data Management

Not only is it critical to the achievement of Council's objectives that it retains data and corporate knowledge, there are regulatory requirements to do so - Council must comply with the State Records Act 1997, Commonwealth Privacy Act 1988 and Freedom of Information Act 1991.

Council's records may be vulnerable to cyberattack, malicious intent or unauthorised release, should appropriate risk mitigation strategies not be in place.

5.3 Design

5.3.1 Understanding the organisation and its context

Establishing the context involves those involved in the risk management process understanding factors internal and external to the organisation that may influence Council's ability to achieve its objectives.

Council's risk management culture, organisational structure, strategy and objectives are factors that define Council's internal context.

The external environment may include a range of factors including (but not limited to):

- increased legislative and compliance requirements;
- reduced funding from State Government
- community expectations; and
- social, cultural, political, technological, economic, natural and built environment.

5.3.2 Roles and responsibilities

The following roles and responsibilities ensure a transparent approach to managing risk within Council.

Note: the roles and responsibilities outlined below refer to risk management only and the committee/position requirements in general

Risk Management Framework

Roles	Responsibilities
Council	<ul style="list-style-type: none"> Adopt Council's Risk Management Policy and Framework Ensure that risk management principles are applied and risks are adequately considered when setting Council's strategies and objectives and in Council's decision making process Understand the risks facing Council in pursuit of its objectives Ensure there is a systematic and effective approach to managing risk and opportunity across Council operations that is implemented, monitored and communicated Consider recommendations from the Audit and Risk Committee relating to Council's strategic risks or any other risk matter
Audit and Risk Committee	<ul style="list-style-type: none"> Review and recommend the endorsement of the Risk Management Framework Ensure a framework is implemented and delivers a consistent approach to risk management by assigning authority, responsibility & accountability at appropriate levels within the organisation Review reports from management and auditors and monitor that effective enterprise risk and opportunity management controls have been implemented
Chief Executive Officer (CEO)	<ul style="list-style-type: none"> Promote a strong risk management culture by providing firm and visible support for risk management including ensuring appropriate accountability for the management of risk. Review and endorse the Risk Management Framework Ensure a customised policy and framework are in place and implemented that deliver a consistent approach to risk management Ensure that appropriate resources are allocated to managing risk Ensure Directors have the necessary knowledge and skills to effectively fulfil their risk management responsibilities and are accountable for risks arising from the activities of their departments Regularly review Council's strategic and operational risks
Leadership Team	<ul style="list-style-type: none"> Commitment to, and promotion of, the Risk Management Policy and Framework Monitor Council's overall risk profile and mitigation strategies Ensure that risk management is embedded into all critical functions and activities Ensure documentation of items on the risk register and ongoing and regular reviews of the risk register including the actioning of any overdue risk treatments Include risk treatments into departmental plans Empower staff to actively be involved in managing risk Promote a proactive risk culture in accordance with business management initiatives Regularly review risks on the risk register (at least annually) Review Council's Strategic Risks annually
Risk Management Coordinator	<ul style="list-style-type: none"> Provide guidance and assistance to all staff in relation to the application of this framework and reporting within the Risk Register Ensure relevant risk information is reported and escalated to the Leadership Team or Audit & Risk Committee or cascaded to staff, as relevant Maintain the Risk Management Policy and Framework to ensure its currency and accuracy Maintain the Risk Register and timeframes as required Provide support and advice to Directors and staff in the application and use of the Risk Management Framework
Employees, Volunteers & Contractors	<ul style="list-style-type: none"> Understand the risk management processes that are integrated into all Council activities Identify, evaluate, report and manage risks in their daily activities and projects

Risk Management Framework

5.4 Implementation

Council's risk management framework is supported by an implementation plan that includes timeframes and resource requirements and processes for engagement with, and provision of information to, stakeholders.

5.5 Evaluation

Council will undertake periodic reviews of its risk management framework and implementation plan to measure its effectiveness and to determine whether it remains suitable in supporting the achievement of its strategic and operational objectives.

5.6 Improvement

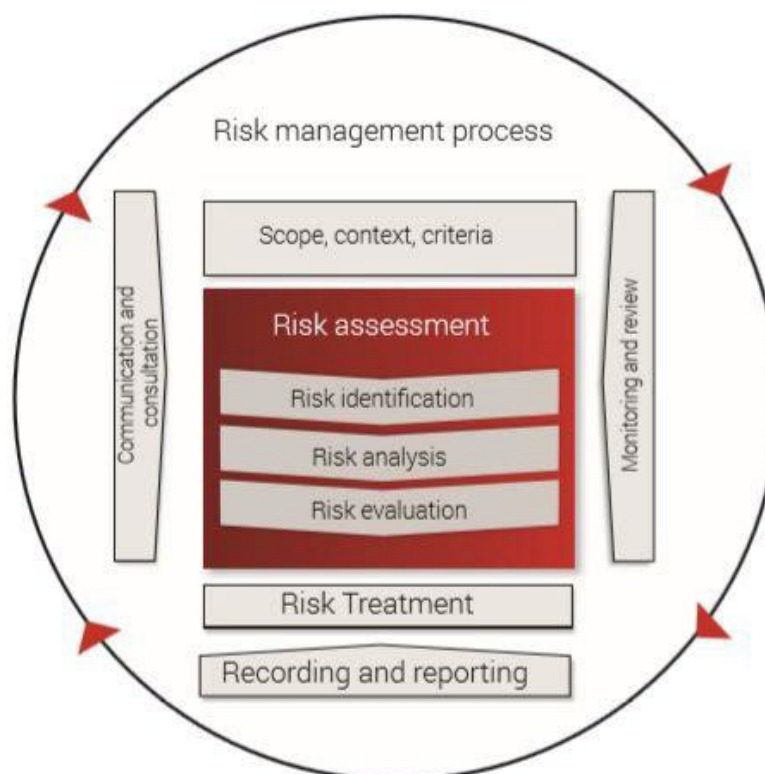
To maintain and improve the value of risk management to the organisation, Council will monitor and adapt its risk management framework, with a view to continually improve the suitability, adequacy and effectiveness of the risk management process.

6 Risk Management Process

Having good risk management practices ensures that Council can undertake activities knowing that measures are in place to maximise the benefits and minimise the negative effect of uncertainties. Risk management involves both the management of potentially adverse effects as well as the fulfilment of potential opportunities. The risk management process is an integral part of management and decision-making and will be integrated into Council's structure, operations and processes.

The dynamic and variable nature of human behaviour and culture will be considered throughout the risk management process.

Although the risk management process is often presented as sequential, in practice it is iterative.



Risk Management Framework

6.1 Communication and Consultation

Establishing a communication and consultation plan with internal and external stakeholders is critical to the success of the risk management process. Effective communication and consultation throughout the process is essential to ensure that those responsible for implementing risk management, and those with a vested interest, understand the basis on which risk management decisions are made and why particular actions are required. Council will engage with stakeholders throughout the risk management process to:

- a) Correctly identify risks and understand context
- b) Gain a better understanding of the views and interests of stakeholders and how their expectations may be managed;
- c) Capitalise on the diversity of knowledge, opinions and experience to enhance identification and management of risks and opportunities; and
- d) Build a sense of inclusiveness and ownership amongst stakeholders.

6.2 Scope, context and criteria

6.2.1 Defining the scope

Because the risk management process is applied at different levels throughout the organisation, it is important to define the scope and its alignment with Council's objectives; this should include consideration of:

- a) Goals and objectives of risk management activities;
- b) Proposed outcomes and timing;
- c) Responsibilities and accountabilities for the risk management process;
- d) Risk management methodologies;
- e) Processes, activities and projects and how they may interact with other processes, activities and projects of Council;
- f) How effectiveness and/or value will be measured and monitored; and
- g) Availability of resources to managed risk.

6.2.2 Defining the context

Defining the context is important because

- Risk management takes place in the context of Council's objectives and activities as Organisational factors can be a source of risk; and
- The context should reflect the specific environment of the activity to which the risk management process is to be applied, and consider the factors outlined in 5.3.1.

6.2.3 Defining risk criteria

Risk criteria are used to evaluate the significance of risk and are reflective of Council's values, objectives and resources and the views of its stakeholders. Council's risk criteria are documented throughout this framework and its appendices.

It should be noted that, whilst risk criteria are established at the beginning of the risk management process, they are dynamic and should be continually reviewed and amended, if necessary.

6.3 Risk Assessment

6.3.1 Risk Identification

The aim of risk identification is to develop an inclusive list of events that may occur which - if they do - are likely to have an impact on the achievement of Council's objectives, as stated in its Community Plan 2021-2031 (known as Strategic Plan). Council identifies, assesses and treats risk in the following three groups (risk types):

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Strategic	Risks associated with high level strategic goals that align to Council's Strategic, Annual and Business Plans. Strategic risks may affect the achievement of Council's corporate objectives. They are key issues for the management and impinge on the whole business rather than a business unit. These risks can be triggered from within the business or externally. In other words they may prevent the organisation from achieving its strategic goals.
Operational	Risks associated with departmental functions and daily operations to deliver essential services. Often the risks are cost overruns, supply chain/logistic issues, employee issues, fraud, WHS, non-compliance to policies and procedures.
Project	Risks associated with Project Management that will affect milestones connected to delivering a specific project.

Risk identification naturally flows on from the context discussion and is a process of formally documenting the effects of uncertainty on objectives. An effective approach is to engage as many stakeholders as possible in a structured identification process.

The aim is to generate a list of risks based on those impacts or events. During the identification process, there are a number of questions that need to be asked to capture the information required:

- What might happen/ what could go wrong?
- What is the cause?
- How does this affect the objective?

After a risk is identified, it may be categorised and captured in the Risk Register in accordance with the following categories



The process of risk identification must be comprehensive as risks not identified are by nature excluded from further analysis. Care must be taken to identify and define risks, rather than causes or consequences

Capturing an additional level of detail with regards to risk areas assists in reporting and analysing trends. An example of this can be found in Appendix G.

6.3.2 Risk Analysis

Risk analysis involves developing an understanding of a risk. It provides an input to risk evaluation and to decisions on whether risks need to be treated, and the most appropriate risk treatment strategies and methods. The tables included in the appendices are Council's tools for expressing the consequence, likelihood and level of risk as well as Council's risk tolerance.

6.3.2.1 Inherent and residual risk

A "risk rating" can be determined by combining the estimates of effect (consequence rating) and cause (likelihood rating). The risks are to be assessed against all consequence categories; and the highest consequence rating will be used.

The first rating obtained will be the inherent risk rating, (i.e. the level of risk at time of risk assessment with no controls.) Once further and additional controls are added to reduce the consequence and/or likelihood, the risk is rated again to determine the residual risk, (i.e. the level of risk remaining after risk treatment).

6.3.2.2 Risk appetite

The Leadership Team, in consultation with Elected Members, are responsible for defining Council's risk appetite, taking into consideration the nature and extent of the risks Council is willing to take in order to achieve its strategic objectives.

The following five questions have been considered in arriving at Council's position for its risk appetite:

- Do decision makers understand the degree to which they are permitted to expose Council to the consequences of an event or situation?
- Does the Leadership Team understand their aggregated and interlinked level of risk to determine whether it is acceptable or not?
- Do the Council and Leadership Team understand the aggregated and interlinked level of risk for

Risk Management Framework

Council as a whole?

- d) Are Council and Leadership Team clear risk appetite is not constant? (i.e. there must be flexibility to adapt built in.)
- e) Are risk decisions made with full consideration of reward? The appetite needs to help Council and the Leadership Team take appropriate level of risk for Council, given the potential for reward.

Council's risk appetite will be included in Council's regular monitoring and review process of the Risk Framework. This review of appetite will be incorporated into the structure of Council at each level of responsibility due, in part, to the differing focuses with regards to the risks that Council faces at each of these levels.

6.3.2.3 Risk tolerance

Not all risk types for Council are the same in terms of their acceptability. Once a risk has been analysed, it needs to be compared to Council's tolerance levels. Risk tolerance can be described as the boundaries of risk taking outside of which the organisation is not willing to accept in order to achieve its objectives.

If the assessed risk level is above the tolerable level for that category of risk then treatment may be required. If it is equal to, or below, the tolerable level for that category of risk then the risk can be accepted, (provided the controls are implemented).

The following statements are a guide to Council's tolerance of risk for its defined risk categories:

Risk Category	Tolerable Level of Risk
People (incl. WHS)	We will not put any person's health or safety at risk (e.g. zero tolerance)
Financial/ infrastructure	We will not pursue any project that has the potential to result in long term financial losses (e.g. moderate tolerance)
Service Delivery	We will tolerate a 20% variance to our service level standards (e.g. moderate tolerance)
Information Technology	Data privacy and security will be protected to the best of our ability (e.g. low tolerance)
Public Health	We will take all practical measures to reduce the level risk to public health (e.g. low tolerance)

6.3.2.4 Risk priorities

Recognising that not all risks can, or should, be managed, Council has determined that it will prioritise treatment of risks in the following order:

- a) Strategic risks that are rated Extreme or High
- b) Operational risks that are rated Extreme or High
- c) Strategic and Operational risks that are rated either moderate or high that exceed the tolerances above.

The CEO may make exceptions to this prioritisation where there is an immediate or foreseeable risk to the health or safety of any person.

6.3.3 Risk Evaluation

Risk Evaluation is the process used to assist in making decisions, based on the outcomes of risk analysis, about which risks need treatment and the priority for implementation of controls. Decisions should take account of the wider context of the risk and include consideration of the tolerance of the risks borne by parties other than Councils who may benefit from the risk. There are also circumstances whereby, despite the risk level, risks cannot be treated.

Risk Management Framework

Risk level	Managing risk – priority rating
Extreme	<ul style="list-style-type: none"> • Add risk to Council's Risk Register • Escalate risk issue immediately to CEO/Leadership Team • CEO/Leadership Team to: <ul style="list-style-type: none"> ○ Refer risk to risk owner ○ Identify and develop treatment strategies for immediate action ○ Monitor and review actions/strategies ○ Provide direction and information to relevant stakeholders ○ Inform the next meeting of the Audit and Risk Committee of the risk issue, the actions taken to mitigate the risk and the outcome (or current status)" • Consider cessation/suspension of the activity giving rise to the risk until such time as CEO/Leadership Team authorises its continuation and/or whilst other risk treatment strategies are being developed/implemented • For WHS related risks, the following applies: <ul style="list-style-type: none"> ○ Operation of item or activity should not be allowed to continue until the risk level has been reduced ○ Will commonly be an unacceptable level of risk ○ May include both short term and long term control measures
High	<ul style="list-style-type: none"> • Add risk to Council's Risk Register • Escalate risk issue to Leadership Team/Risk Management area • Leadership Team to: <ul style="list-style-type: none"> ○ Refer to relevant risk owner ○ Identify and develop treatment strategies with appropriate timeframes ○ Monitor and review actions/strategies to manage risk to an acceptable level ○ Inform the next meeting of the Audit and Risk Committee of the risk issue, the actions taken to mitigate the risk and the outcome (or current status)" ○ Provide direction and information to relevant stakeholders For WHS related risks, the following applies: <ul style="list-style-type: none"> ○ Reduce the risk rating so far as is reasonably practicable ○ Should only be an acceptable level of risk for 'Major' or 'Catastrophic' consequences
Moderate	<ul style="list-style-type: none"> • Add risk to Council's Risk Register • Manage within department <ul style="list-style-type: none"> ○ Identify and develop treatment strategies with appropriate timeframes ○ Monitor and review actions/strategies to manage risk to an acceptable level For WHS related risks, the following applies: <ul style="list-style-type: none"> ○ Reduce the risk rating so far as is reasonably practicable. May be an acceptable level of risk
Low	<ul style="list-style-type: none"> • Add risk to Council's Risk Register • Undertake localised risk management & actions (if required) • Review within the department parameters and routine procedures For WHS related risks, the following applies: <ul style="list-style-type: none"> ○ Reduce the risk rating so far as is reasonably practicable. Commonly is an acceptable level of risk

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6.4 Risk Treatment

Risk treatment can be conducted using a variety of methods. When looking at risks, treatments are aimed at reducing or removing the potential for consequences occurring. However when looking at opportunities, treatments look at ensuring that consequences are realised.

Risk treatment involves selecting one or more options for modifying risks likelihood, and implementing those options. Once implemented, treatments provide or modify the controls. An action should be implemented to treat certain risks.

Justifications for risk treatment is broader than solely economic considerations and should take into account all of Council's obligations, voluntary commitments and stakeholder views. Appropriate risk treatment options should have regard to Council's objectives, risk criteria and available resources.

Council will tolerate a level of risk, in accordance with the risk tolerances set out in Appendix E. Any risk that is rated at or below a tolerable level of risk should be escalated to the appropriate level, as set out in 6.3.3 to have a treatment plan in place.

6.4.1 Risk treatment options

Risk treatment options are not necessarily mutually exclusive or appropriate in all circumstances. Options may include:

Eliminate	Remove the asset or service completely so as to eliminate the risk altogether
Share	Allocate risk to a third party, such as through appropriate contractor management (noting however that Section 272 of the WHS Act 2012 voids any agreement or contract that purports to transfer any duty owed under the Act).
Mitigate	Implement a type of treatment control to reduce or remove the risk. This may include but is not limited to options such as substitution (swapping), isolation (barricade), engineering (modify by design) or administration (policy/process)
Accept	Risk can be accepted for a number of reasons including: <ul style="list-style-type: none"> <input type="checkbox"/> no extra treatments being available; <input type="checkbox"/> meets the stated target for the type of risk; <input type="checkbox"/> informed decision has been made about that risk; and <input type="checkbox"/> risk treatment is worth more than the risk exposure.

6.4.2 Control characteristics

Risk treatments need to be designed in a manner to ensure they are sufficient to mitigate that risk, and have some of the following characteristics if they are to become an adequate control:

- a) Documented (e.g. Policies, procedures, task lists, checklists)
- b) Systems-oriented (e.g. integrated and/or automated)
- c) Preventative (e.g. system controls) or detective
- d) Consistent and regular (including during staff absence)
- e) Performed by competent and trained individuals
- f) Clear responsibility and accountability
- g) Create value (i.e. benefits outweigh costs)
- h) Achievable for the organisation (based on available resources)
- i) Evidenced
- j) Confirmed independently

6.4.3 Preparing and implementing risk treatment plans

Risk treatment plans specify how the risk treatment options will be implemented, so that those involved understand what arrangements are in place and to allow progress against the plan to be monitored. Risk treatment plans may be integrated into Council's existing processes, (e.g. project management plans, risk registers,) and provide the following information:

- a) Rationale for selection of treatment options;
- b) Responsibilities and accountability for approving and implementing the plan;
- c) Proposed actions and timeframes;
- d) Resourcing requirements;
- e) Constraints and contingencies; and
- f) Required reporting and monitoring.

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6.5 Monitoring and Review

6.5.1 Review of risks and controls

Monitoring and review must be a formal part of the risk management process and involves regular checking or surveillance of the effectiveness and efficiency of the risk management processes implemented.

A monitoring and review process will:

- Ensure that implemented controls are effective and adequate;
- Provide further information to improve risk assessment and treatment plans;
- Allow for the identification of emerging risks;
- Identify any (new) activities that may influence established strategies to mitigate risks.

It is essential to monitor all activities and processes in order to capture any new or emerging risks arising from the changing environment, (both internal and external) and the activities undertaken by Council.

Monitoring and review guidelines and timeframes are captured in the Risk Reporting structure. See section 7.

6.5.2 Project risks

Due to the dynamic nature of most projects, a risk may change over the lifecycle of the project, triggering the need for reassessment. The monitor and scheduled review process allows for validation of risks to ensure that they remain relevant and adaptation of project plans as necessary. Any changes in risks throughout the project and after its completion should be recorded and used for future project planning.

6.5.3 Internal audit

The audit process plays an important role in evaluating the internal controls (and risk management processes) currently employed by Council. Our internal audit program is 'risk based' and provides assurance that we are managing our risks appropriately. In developing the Internal Audit Plan consideration is given to the extreme, high and moderate risks identified by the risk assessment process. Internal audits assess the adequacy of selected controls identified.

The internal audit process will measure risk by:

- Measuring compliance** – has Council met its Policy objectives
- Measuring maturity** – measuring against best practice and Council benchmarking
- Measuring value add** – has the framework and risk culture added to the achievement of Councils strategic objectives

Information is shared between the risk management and internal audit functions. Changes in our risk profile are reflected in our Internal Audit Plan. Similarly, control issues identified through internal audit will inform our Risk Management Framework. The internal audits are conducted to provide assurance that key risks have been identified and the controls in place are adequate, as per the following table:

Rating	Tolerable Level of Risk	Note
Adequate	The control is designed in a manner that it can give reasonable assurance that the risk will be mitigated. In other words, existing systems and procedures cover known circumstances and provide reasonable assurance for majority of risks.	This definition applies to the design of the control
Partially adequate	The control is designed in a way that will partially mitigate the risk and designed in a way to partially meet the design objectives.	This definition applies to the design of the control
Inadequate	The design of the control is not sufficient enough to give reasonable assurance that the risk will be mitigated. There may be no systems and procedures in place, or existing systems and procedures are obsolete and require review.	This definition applies to the design of the control
Effective	The control operates in a manner that is effective in terms of being consistent, complete, reliable and timely.	This definition applies to the operating

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		effectiveness of the control
Partially effective	The control partially operates in a manner that is effective in terms of being consistent, complete, reliable and timely.	This definition applies to the operating effectiveness of the control
Ineffective	The control does not operate in a manner that is effective in terms of being consistent, complete, reliable and timely.	This definition applies to the operating effectiveness of the control

It is to be noted that the overall combination of the results of design adequacy and operating effectiveness will provide the overall rating of the control based on the table for overall rating.

Control Rating:

Design Adequacy	Operating Effectiveness	Overall Control Rating
Adequate	Effective	Effective
Adequate	Partially Effective	Partially Effective
Adequate	Ineffective	Ineffective
Partially Adequate	Effective	Partially Effective
Partially Adequate	Partially Effective	Partially Effective
Partially Adequate	Ineffective	Ineffective
Inadequate	Effective	Ineffective
Inadequate	Partially Effective	Ineffective
Inadequate	Ineffective	Ineffective

6.5.4 Review of Risk Management Framework

The review of Council's risk management framework and processes will be undertaken within 12 months following the conclusion of a periodic election, inline with legislation changes or by resolution of Council.

7. Recording and reporting

7.1 General

The risk management process and its outcomes should be documented and reported, in order to:

- Communicate risk management activities and outcomes;
- Provide information for decision making;
- Continuous improvement;
- Assist interaction with stakeholders, including those with responsibility and accountability for risk management activities.

Records will be managed and retained in accordance with State Records General Disposal Schedule for Local Government.

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7.2 Risk register

The Skytrust Risk Register enables Council to document, manage, monitor and review strategic, project and operational risk information in order to build a risk profile and provide direction on how to improve risk management processes. The Risk Register can be used to monitor whether, using the approach outlined in this framework, the risk management process for opportunities is resulting in an increasing trend towards potential for success and less risk with negative consequences.

7.2.1 Strategic Risks

Council will identify and record Strategic Risks on the central Risk Register. Strategic level risks are identified by the Leadership Team and the Council, as part of an annual review at a minimum. Any risks identified at the Strategic level may be reflected in other corporate documents e.g. Community Plan 2021-2031 (known as Strategic Plan), Annual Business Plan, and Asset Management Plans and mitigated through action details in these documents; however these should be collated in the Risk Register for ease of monitoring and review.

Recording and reporting of Strategic level risks is the responsibility of the Work Health Safety & Risk Management Coordinator via Leadership Team and Audit & Risk Committee.

7.2.2 Operational Risks

Council will record and maintain Operational risks on the central Risk Register, which is reviewed at least annually by Departmental Directors. The Risk Register will incorporate departmental risks and proposed mitigation techniques, as determined by the evaluation process. Recording operational level risks in the register and reporting of implementation and effectiveness of controls is the responsibility of Department Directors and workers.

7.2.3 Project Risks

Project level risks can be identified by anyone at any time prior to, and during, specified projects and are recorded within the Risk Register. Project level risks must be identified during the Planning process, however can be added as and when necessary. Recording and reporting of Project level risks rest with the identified Project Owner.

7.3 Risk reporting

7.3.1 Purpose

Risk based reports will draw data from the Risk Register and provide monitoring and profile information to Council, Audit & Risk Committee and the Leadership Team in order to:

- Understand the risk exposure of the Council;
- Identify risks that require increased attention and action;
- Provide risk information to the Council; especially anything effecting the Community Plan 2021-2031;
- Provide information to all workers at all levels to make risk informed decisions; and
- Improve the Risk Management awareness and culture at Council

7.3.2 Content

Risk reporting may include:

- All Council and Committee reports to include discussion of potential risks, based on completed risk assessment and treatments;
- An annual review and update of the Risk Register by Departmental Directors, (or as otherwise required, e.g. organisational structure change/ process change/ new project);
- Quarterly review of Extreme/ High Operational Risks by Leadership Team provided to the Audit & Risk Committee;
- Annual review of Strategic Risks by Leadership Team;
- All new and emerging Strategic Risks reviewed by Leadership Team as required; and
- Any risks rated as HIGH or EXTREME after the consideration or implementation of treatment options are reported to Council's Audit & Risk Committee.
- Any actions that are overdue by management for HIGH and EXTREME risks

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8. Training

8.1 Workers

This Framework and supporting policies and tools will be made available to all workers through the Skytrust.

Council's Training Needs Analysis (TNA) is a tool used to:

- a) capture legislative training and/or licencing requirements, and
- b) identify individual tasks within specific jobs and the core competencies required for the safe performance of those jobs.

Risk Management awareness training is captured on Councils TNA, to ensure the effective implementation of this Framework.

Risk Management should be viewed as an umbrella that is overarching across all Council functions, not as a specialist skill that is owned by a designated risk management position and, as such, Council considers it to be a skill and necessity that workers need to perform their day to day activities. Risk Management awareness training will be provided by Council to relevant workers and will take into consideration the role of the worker within the Risk Management Framework and the level of past risk management experience and knowledge.

8.2 Elected Members

Elected members are key strategic decision makers and it is therefore imperative that they have an understanding of Council's Risk Management Policy and Framework and their role in informed decision making based on sound risk management principles.

Risk Management awareness training will be scheduled within 12 months of Council elections.

8.3 Audit & Risk Committee

Audit & Risk Committee members should, at a minimum, have an understanding of their roles and responsibilities as outlined in Council's Risk Management Policy and Framework, including the monitoring and review of risk management reports and outcomes from management and external auditors.

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APPENDICES

Appendix A: Definitions

Key Definitions	
Assurance:	A process that provides a level of confidence that objectives will be achieved within an acceptable level of risk
Clinical risk:	Risk of an adverse outcome resulting from clinical diagnosis, treatment or patient care.
Consequence:	The outcome of an event expressed qualitatively or quantitatively, being a loss, injury, disadvantage or gain. There may be a range of possible outcomes associated with an event.
Controls:	An action that modifies risks and increases the likelihood that objectives and goals of an organisation will be achieved.
Enterprise Risk Management:	ERM can be defined as the process affected by an organisation's board of directors (elected members/Audit Committee for Councils), management and other personnel, applied in strategy setting and across the organisation, designed to identify potential events that may affect the entity, manage risk to be within its risk appetite, to provide reasonable assurance regarding the achievement of the organisation's objectives.
Establishing the Context:	Defining the external and internal parameters to be taken when managing risk
Event:	Occurrence of a particular set of circumstances
Exposure:	The risk exposure is a qualitative value of the sum of the consequence of an event multiplied by the likelihood of that event occurring
External Context:	External environment in which the organisation seeks to achieve its objectives
Financial / Infrastructure Risk:	Risk relating to the organisation's financial sustainability or ability to provide or maintain services, structures and/or facilities
Frequency:	A measure of the rate of occurrence of an event expressed as the number of occurrences of their event in a given time.
Inherent Risk:	Risk at time of risk assessment without existing/current controls
Internal Audit:	An independent, objective assurance and consulting activity designed to add value and improve organisations operations. It helps organisation to accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.
Internal Context:	Internal environment in which the organisation seeks to achieve its objectives
IT (Information Technology) Risk:	Risks relating to loss, exploitation or ineffectiveness of the organisations hardware, software or systems, (including data retention and security)
Legal and compliance risk:	Risks relating to failure or inability to comply with legal or regulatory compliance
Likelihood:	Chance of something happening
Monitor:	To check, supervise, observe critically or record the progress of an activity, action or system on a regular basis in order to identify change.
Operational Risks:	Risks associated with departmental functions and daily operations to deliver core services.
People Risks:	Risk to the organisation caused by its people, (e.g. relating to culture or behaviour,) or the risk of harming people, (whether employees or not).
Project Risks:	Risks associated with Project Management that may affect milestones or deliverables connected to a specific project.

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Reasonable assurance:	The concept that enterprise risk management, no matter how well designed and operated, cannot guarantee that an entity's objectives will be met. This is because of inherent limitations in all Risk Management Frameworks.
Residual Risk:	Rating of the risk remaining after risk treatment or control has been applied.
Risk Analysis:	A systematic use of available information to determine how often specified events may occur and the magnitude of their consequences.
Risk Appetite Statement:	The statement articulates the organisations approach to risk and includes both risk appetite and risk tolerance. The risk appetite is broad pursuit of risk whereas risk tolerance is operational and more tactical
Risk Appetite:	Is the amount of risk an organisation is prepared to accept or avoid. Broad-based description of the desired level of risk that an entity will take in pursuit of its mission
Risk Assessment:	An overall process of risk identification, risk analysis and risk evaluation
Risk Culture:	Risk culture refers to the behaviours that lead to how every person thinks about and manages risks,
Risk Escalation Process:	A risk management system whereby an increasingly higher level of authorisation is required to sanction the continued tolerance of increasingly higher levels of risk. Some organisations use the term risk elevation.
Risk Evaluation:	The process used to determine risk management priorities by comparing the level of risk against predetermined standards, target risk levels or other criteria.
Risk Management:	Coordinated activities to direct and control an organisation with regard to risk.
Risk Management Framework:	Set of components that provide the foundations and organisational arrangements for designing, implementing, monitoring, reviewing and continually improving risk management throughout the organisation.
Risk Maturity:	Risk maturity of an organisation is the level of maturity an organisation has reached in its risk culture. A matured risk organisation is where the management are far more adept at identifying and mitigating the risks that could undermine their achievement of business goals. At the same time, they are effectively containing financial reporting and compliance risks and they focus on strategic risks and have integrated their various risk management activities. Organisations with low level of risk maturity are often fragmented and are not adept in identifying and managing their risks.
Risk Owner:	Staff member with the accountability and authority to manage a risk
Risk Profile Review:	Formal process where the organisation's risk profile is reviewed periodically and annually.
Risk Rating:	Risk priority based on consequence and likelihood assessments
Risk Register:	Register of all identified risks, their consequences, likelihood, rating and treatments. It works well when it is a live document and the risks are reviewed on a periodic basis.
Risk Tolerance:	An organisation's or stakeholder's readiness to bear the risk after risk treatment/control has been applied in order to achieve its objectives. It also reflects the acceptable variation in outcomes related to specific performance measures linked to objectives the entity seeks to achieve
Risk Treatment:	Risk treatment is a risk modification process - Usually the risk treatment means what are you going to do (modify) with the risk based on its residual risk rating, i.e. • Avoid • Reduce • Transfer • Accept • Share
Risk:	An event or uncertainty that will stop an organisation to achieve its objectives
Stakeholder:	Person or organisation that can affect, be affected by, or perceive themselves to be affected by, a decision or activity
Strategic risks:	Risks associated with <i>high level</i> strategic goals that align to Councils Strategic, Annual and Business Plans. Strategic risks may affect the achievement of Council's corporate objectives-They are key issues for the management and impinge on the whole business rather than a business unit. These risks can be triggered from within the business or externally. In other words they may stop the organisation from achieving its strategic goals.

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1.1 Appendix B: Consequence Tables

Qualitative Measures of Consequence

RANK	People	Financial / Infrastructure	Service Delivery	Project	Reputation	Environmental/ Cultural site disturbance	Legal / Regulatory / Policy
Insignificant	Minor injuries not requiring first aid treatment, or near miss Annual staff turnover of <10%	Financial – low financial loss <\$20,000 impact on operating result Minor failure of infrastructure – no inconvenience to stakeholders	Insignificant interruption to a service – no impact to customers/ business	Nil impact on achievement of key project objectives or project duration extended up to 10% of original timeframe	Little community interest, low profile, no media items	Minor Instance of environmental (e.g. soil, vegetation, coastal) damage. Can be reversed immediately. Minimal (but discernible) disruption to Aboriginal site. Minimal spill or litter able to be removed immediately	No noticeable statutory or regulatory impact Fines < 10,000
Minor	Minor Medical attention. Negligible impact on morale Annual staff turnover of <20%	Financial – medium financial loss >\$20,000 and <\$50,000 or 1% of rate revenue Minor failure that cannot be rectified immediately – minor inconvenience to stakeholders	Minor interruption to a service with minimal impact to customers/ business	Some impact on isolated key project objectives. Additional minor effect required to ensure all objectives are met. Project duration extended by 11-20% of original project timeframe	Low impact, some passing interest, low media profile	Minor impact to environment, e.g. on-site chemical release, spill or sand/soil movement that can be immediately contained. Can be reversed in the short term	Minor/temporary non-compliance with statutory requirements Fines less than \$250,000 for the organisation
Moderate	Significant Injury requiring medical attention. Short Term effect on morale and business Annual staff turnover of >20% of entire workforce or 30% of a work group Loss of member of Leadership Team Loss of up to 4 elected members more than 12 months out from LG Elections	Financial – high financial loss >\$50,000 and <\$250,000 or 2.5% of rate revenue Significant failure of infrastructure that will require work-arounds – moderate inconvenience to stakeholders	Moderate Interruption to service delivery. Customer impact up to 48 hrs. Partial BCP action may be needed	Impacts numerous key project objectives. Considerable effort required including some change in project scope to achieve required outcomes Project duration extended by 21-35% of original project timeframe	Moderate impact, moderate public interest, public embarrassment, moderate media profile	Moderate impact to environment. Localised damage or chemical release that has potential to spread but can be contained or reversed with intensive efforts or outside assistance. Noticeable disruption to Aboriginal site Litter removal requires outside assistance, (e.g. contractor or government agency)	Short-term non-compliance with moderate statutory requirements Fines < \$50,000 for an individual or < \$500,000 for the organisation
	Serious Long Term	Financial – major	Major interruption to	Significant portion of key project	Sustained	Severe Loss of	Significant non-

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1.2 Appendix C: Likelihood Table


Likelihood	Percentage of occurring	Explanation – Operations	Explanation – Projects/ Business Case	FREQUENCY
Almost Certain	90% chance	It is expected to occur again, immediately or within a short period – likely to occur most weeks or months.	Could be expected to occur more than once during the study or project delivery	Expected to occur in most circumstances
Likely	50%-90% chance	Will probably occur in most circumstances – several times a year.	Could easily be incurred and has generally occurred in similar studies or projects.	Likely will occur
Possible	25%-50% chance	Could be incurred within a one – two year period.	Incurred in a minority of similar studies or projects	Moderate probability of an incident
Unlikely	5%-25% chance	Could be incurred in a two - five year time frame.	Known to happen, but only rarely.	Unlikely probability of an incident
Rare	<5% chance	May occur in exceptional circumstances. Could be incurred in a 5-30 year timeframe.	Has not occurred in similar studies or projects. Conceivable but in extreme circumstances.	Extremely low probability. Will only occur in exceptional circumstances

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1.3 Appendix D: Risk Matrix

RISK RATING MATRIX (Ref: AS 4360:1999 Risk Management)					
Likelihood	Consequence				
	Minor injuries requiring no treatment e.g. minor scratch, minor bruising or No injuries,	First aid treatment injury with immediate return to work (e.g. minor cut, minor sprain/strain) not requiring professional medical attention or loss of time	Professional Medical treatment required, (e.g. laceration needing suturing or major sprain/strain) with a potential loss of time Potentially notifiable incident	Severe Injuries (e.g. serious laceration, amputation, major fracture) potentially permanent injury requiring professional medical attention and/or hospitalisation Notifiable incident	Near Fatality (or multiple) Fatality (or multiple) Total disablement injury Notifiable incident
	Insignificant 1	Minor 2	Medium 3	Major 4	Catastrophic 5
A – Almost certain is expected to occur in most circumstances	HIGH	HIGH	EXTREME	EXTREME	EXTREME
B – Likely will probably occur in most circumstances	MEDIUM	HIGH	HIGH	EXTREME	EXTREME
C – Possible might occur at some time	LOW	MEDIUM	HIGH	EXTREME	EXTREME
D – Unlikely could occur at some time	LOW	LOW	MEDIUM	HIGH	EXTREME
E – Rare may occur only in exceptional circumstances	LOW	LOW	MEDIUM	HIGH	HIGH

Hierarchy of Control (select controls down from 1 to 6)			
	1.	Elimination	Remove the hazard completely (e.g. remove noisy equipment)
	2.	Substitution	Replace the hazard with a less hazardous situation (e.g. provide a non-hazardous chemical)
	3.	Isolation	Remove the person from the hazardous environment (e.g. move noisy equipment away from workers)
	4.	Engineering	Provide an engineering solution to control the hazard (e.g. install guarding or physical barrier)
	5.	Administrative	Provide procedural controls (e.g. work instructions, training etc.)
	6.	PPE	Provide PPE to protect the person from the hazard (e.g. provide hearing protection or safety glasses)
			More Effective
			Less Effective

EXTREME	<ul style="list-style-type: none"> Operation or Activity MUST not be allowed to continue until the risk level has been reduced to as low as reasonably practicable (ALARP) Is an UN-ACCEPTABLE level of risk and SHALL ONLY CONTINUE WITH CEO SIGNED APPROVAL May include both long term and short term control measures Requires regular review with the aim to reduce risk further
HIGH	<ul style="list-style-type: none"> Reduce the risk rating to (ALARP) if possible Must only be an acceptable level of risk for “Major” or “Extreme” consequences Requires frequent review with the aim to reduce risk further
MEDIUM	<ul style="list-style-type: none"> Reduce the risk Ranking to ALARP if possible May be an acceptable level of risk Requires review with the aim to reduce risk further
LOW	<ul style="list-style-type: none"> Reduce the risk Ranking to ALARP if possible Commonly is an acceptable level of risk Review with the aim to reduce further

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1.4 Appendix E: Risk tolerances

The tolerance level for each residual risk, and specific to Council and its objectives, is stated below:

Zero	Willingness to accept no risk at all
Low	Willingness to accept very little risk
Moderate	Willingness to accept some reasonable risk
High	Willingness to accept a high level of risk

1.5 Appendix F: Control definitions

RATING	Definition	Note
Adequate	The control is designed in a manner that it can give reasonable assurance that the risk will be mitigated. In other words existing systems and procedures cover known circumstances and provide reasonable assurance for majority of risks.	This definition applies to the design of the control
Inadequate	The design of the control is not sufficient enough to give reasonable assurance that the risk will be mitigated. There may be no systems and procedures in place, or existing systems and procedures are obsolete and require review	This definition applies to the design of the control
Effective	The control operates in a manner that is effective in terms of being consistent, complete, reliable and timely.	This definition applies for the operating effectiveness of the control
Ineffective	The control does not or partially operates in a manner that is not effective in terms of being consistent, complete, reliable and timely.	This definition applies for the operating effectiveness of the control

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1.6 Appendix G: Detailed Risk Areas

Animal Management	
Arts & Culture	
Building Maintenance	Building Management
Caravan Parks / RV Facilities	
Cemeteries/Crematoria	
Community Development	
Council Land & Buildings	Includes: Building Safety; Hire of Council Facilities; Leasing Arrangements
Economic Development	
Emergency Management	Includes Business Continuity Plans
Event Management	
Financial Management	
Governance	Includes: Special Committees; Elected Members
Health - Inspections	Food and other health inspections (proactive and reactive)
Health - Provision of clinical services	eg Immunisation
Human Resources	
Information Technology	
Inland Waterways	Includes: Boat Ramps; Jetties
Library Services	Including mobile library etc.
Planning & Development	Includes: Planning Development & Infrastructure Act 2016 Act, Regional Development Assessment Panel; Section 7
Playgrounds /Nature Play / Outdoor Gym Equipment	Includes Nature Play
Procurement, Contracts, Tenders	Also covers Contract/Contractor Management
Rail Interfaces	Includes: Agreements, Risk Assessments
Regulatory	Includes: Parking Enforcement
Roads & Footpaths	Roads & Footpath Management
Smart Technology	Includes: Drones; Driverless Vehicles; CCTV; Electric Vehicle Charging Stations;
Sport/Recreation/Leisure	Includes Leisure Facilities/Services; Recreational Reserves - sport & non-sport
Swimming Pools	
Tree Management	
Tourism	
Volunteers	
Waste Management	Includes: Rubbish Collection; Recycling
Water Management	Includes: CWMS; Drainage

Policy title:	Risk Management Framework
Policy number:	04.29A
Policy type:	Council / Governance
Responsible officer:	Director Community and Corporate
First issued / adopted:	April 2021
Review period:	Within 12 months after the conclusion of a periodic election, inline with legislative changes or by resolution of Council
Last reviewed:	January 2023 [010-2023]
Next review date:	By November 2027
Version:	Version 3
Date revoked:	
Applicable legislation:	Local Government Act 1999
Related documents:	AS ISO 31000:2018 Risk Management – Guidelines District Council of Mount Remarkable Risk Management Policy Work Health and Safety Act 2012 Return to Work SA code of Conduct for Self-Insured Employers Version 12 Civil Liabilities Act 1936 Work Health Safety and Return to Work Policy
Public consultation required / undertaken:	No
Availability	This Policy is available for inspection at the Council office and any person may obtain a copy of this Policy upon payment of the fee fixed by Council in accordance with Council's Fees and Charges adopted each financial year. It is also available on Council's website mtr.sa.gov.au . Any grievance in relation to this policy or its application should be forwarded in writing to the Chief Executive Officer of the Council.
File reference:	W:\4. Policy Manuals\Current Policy Manual

Signed: _____

Chief Executive Officer

Date: ____/____/____