

Strategic Risk Register



RESIDUAL

Not Assessed

INHERENT

Extreme

R00914

THEME - Leadership; FRAUD;

DECISIONS - Ineffective / improper decision making that does not align with City plans, values, strategic direction and/or legislative

INTERNAL CAUSES Failures in:

- Adequate information provision
- Awareness and understanding of strategic vision
- Communicating local government individuality and service planning methodology
- Council decisions are not implemented on a timely manner or not actioned correctly
- Effective planning and engagement with customers / community
- Evolving at the same speed as community expectations / needs
- Financial impact awareness
- Functional relationship building and promotion, stakeholder relationships
- Good governance, integrity and accountability
- Prioritising community ahead of political agenda / alliances
- Training and education of decision makers and community
- Understanding and developing modern and relevant local laws, policies and processes
- Understanding of decision making role and limitations

EXTERNAL CAUSES

Delegated authority decisions

OWNER To be assigned

CREATED 10/12/2022 10:13:37 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01674	Annual ' State of' Reports		12 months
MC01677	Community Consultation Protocol (July 2020)		12 months
MC01689	Governance Framework	Control effectiveness needs assessment	12 months
MC01697	Elected Member Induction Program and Joint Elected Member Induction Program	Control effectiveness needs assessment	12 months
MC01698	Executive Strategic Goal awareness /updates / training	Control effectiveness needs assessment	12 months
MC01675	Annual Budget (preparation)	Control operates as intended, MEETS its own objectives	12 months
MC01694	Joondalup 2032: Strategic Community Plan 2022-2032	Control operates as intended, MEETS its own objectives	12 months
MC01702	Strategic Financial Plan 2020	Control operates as intended, MEETS its own objectives	12 months
MC01684	Customer Service Plan 2014-2019	Increased control required, needs implementation	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

THEME - Leadership

EXPECTATIONS - Inability to understand community expectations

INTERNAL CAUSES Failures in:
▲ Activity and decision alignment
Business continuity
Business improvements and efficiencies required to maximise capacity
Consulting adequately or correctly with the community
Effective delivery of the Corporate Business Plan
Financial planning / budgeting for adequate resources
Governance and strategy
Internal and external compliance monitoring
Monitoring and reporting progress, successes and failures
Planning to align to strategic vision and direction

R00915

OWNER To be assigned

CREATED 10/12/2022 10:13:37 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
			▲
MC01675	Annual Budget (preparation)	Control operates as intended, MEETS its own objectives	12 months
MC01683	Corporate Business Plan 2021-22 to 2025-26	Control operates as intended, MEETS its own objectives	12 months
MC01688	Financial Activity Statements	Control operates as intended, MEETS its own objectives	12 months
MC01689	Governance Framework	Control effectiveness needs assessment	12 months
MC01691	Integrity Framework	Increased control required, needs implementation	12 months
MC01692	Internal Audit Plan	Control operates well but DOES NOT ALWAYS meet its own objectives	12 months
MC01693	IT Strategic Plan 2015-2020	Control effectiveness needs assessment	12 months
MC01694	Joondalup 2032: Strategic Community Plan 2022-2032	Control operates as intended, MEETS its own objectives	12 months
MC01700	Safety Management Plan 2018-2021	Control effectiveness needs assessment	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

R00916

THEME - Environment

ENVIRONMENT - Ineffective management of natural environment and climate changes impacting services and assets

INTERNAL CAUSES Failures in:

- Adaptation and planning management
- Asset condition/age monitoring and planning
- Being good stewards towards a sustainable environment
- Carbon emission reduction
- Clean energy
- Coastal vulnerability awareness
- Community group management and support
- Environmentally informed/sustainable planning decisions
- Erosion impact management
- Financial planning / resourcing
- Flora and fauna protection and management
- Hazard and risk management
- Increasing tree canopy
- Management of assets to withstand increasing extreme events like flooding, fire, storms (roads, drains etc)
- Natural hazard management (bush fire, flood)
- Promoting natural energy
- Protection of natural environment, ecology and biodiversity
- Sustainable waste management
- Water consumption monitoring and availability

EXTERNAL CAUSES

Contaminated sites caused by external parties

OWNER To be assigned

CREATED 10/12/2022 10:13:37 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01671	Bushfire Risk Management Plan 2018-2023	Control effectiveness needs assessment	12 months
MC01676	Asset Management Strategy 2014-2024	Control operates well but DOES NOT ALWAYS meet its own objectives	12 months
MC01677	Community Consultation Protocol (July 2020)		12 months
MC01679	City Water Plan 2016-2021	Control effectiveness needs assessment	12 months
MC01680	Climate Change Strategy 2014-2019	Control operates as intended, MEETS its own objectives	12 months
MC01687	Environment Plan 2014-2019	Control operates as intended, MEETS its own objectives	12 months
MC01695	Local Planning Strategy	Control effectiveness needs assessment	12 months
MC01702	Strategic Financial Plan 2020	Control operates as intended, MEETS its own objectives	12 months
MC01703	Waste Management Plan 2016-2021 inc LG Waste Plan	Control operates as intended, MEETS its own objectives	12 months
MC01705	Pathogen Management Plan 2018-2028	Control effectiveness needs assessment	12 months
MC01706	Weed Management Plan 2016-2022	Control effectiveness needs assessment	12 months
MC01707	Drainage Asset Management Plan 2011–2031	Control effectiveness needs assessment	12 months
MC01708	Property Management Framework	Control operates as intended, MEETS its own objectives	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

R00917

THEME - Leadership; FRAUD; CORRUPTION

REPUTATION - Reputation damage / loss of community trust

INTERNAL CAUSES Failures in:

- Acknowledgement of diverse cultures and histories
- Community surveillance and addressing anti-social issues
- Delivering on promises / published outcomes
- Effective data collection methods/technologies to understand community experience
- Effective management of media
- Effective stakeholder management / collaboration / engagement to identify needs and trends
- Governance oversight
- Internal control
- Meeting and/or understanding customer/community expectations or their definition of value, benefit and service delivery
- Misappropriation of funds
- Openly acknowledging mistakes
- Scandal
- Supporting at risk populations and elderly residents
- Training and awareness
- Transparent and positive communication
- Transparent community communication regarding funding and development methodologies used to deliver and maintain services / infrastructure

EXTERNAL CAUSES

- External investigation outcomes
- Misinformation spread through social media

OWNER To be assigned

CREATED 10/12/2022 10:13:37 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01674	Annual ' State of' Reports		12 months
MC01682	DRAFT Community Safety Plan	Increased control required, needs implementation	12 months
MC01684	Customer Service Plan 2014-2019	Increased control required, needs implementation	12 months
MC01685	Economic Development Strategy	Control operates as intended, MEETS its own objectives	12 months
MC01689	Governance Framework	Control effectiveness needs assessment	12 months
MC01691	Integrity Framework	Increased control required, needs implementation	12 months
MC01692	Internal Audit Plan	Control operates well but DOES NOT ALWAYS meet its own objectives	12 months
MC01693	IT Strategic Plan 2015-2020	Control effectiveness needs assessment	12 months
MC01694	Joondalup 2032: Strategic Community Plan 2022-2032	Control operates as intended, MEETS its own objectives	12 months
MC01696	Corporate Marketing Plan 2017-2021	Control operates as intended, MEETS its own objectives	12 months
MC01700	Safety Management Plan 2018-2021	Control effectiveness needs assessment	12 months
MC01702	Strategic Financial Plan 2020	Control operates as intended, MEETS its own objectives	12 months
MC01704	Workforce Plan 2018-2022	Control effectiveness needs assessment	12 months
MC01710	Cultural Plan	Increased control required, needs implementation	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

R00918

THEME - Community; THEME - Leadership; FRAUD; CORRUPTION: BUSINESS CONTINUITY

IT - Inability to protect IT network from degradation, data loss, security breach or other cyber attack

INTERNAL CAUSES Failures in:

- Adequate staff recruitment or retention (number and skillset)
- Continuity planning to identify threat or disruption potential and recovery strategies
- Cyber security
- Education of threats, protection strategies and impacts (general workforce and IT staff)
- Implementing core business systems that support service delivery and are accepted by staff
- IT asset management
- Managing appropriate system and software usage
- Penetration testing
- Physical IT equipment security/protection from external event (fire, flood, excessive heat etc)
- Security protection and detection systems
- Software/hardware renewal, update and compatibility management
- Staying up to date with threat vulnerabilities
- Storage and retrieval systems
- Understanding and responding to vulnerability for malicious attacks

OWNER [To be assigned](#)

CREATED 10/12/2022 10:13:37 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS [Not Assessed \(part or full\)](#)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01693	IT Strategic Plan 2015-2020	Control effectiveness needs assessment	12 months
MC01704	Workforce Plan 2018-2022	Control effectiveness needs assessment	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

R00919

THEME - Community; THEME - Leadership; BUSINESS CONTINUITY

WORKFORCE - Inability to attract or retain skilled and competent workforce

INTERNAL CAUSES Failures in:

▲ Attracting and retaining skilled workforce (employer of choice)

Attracting younger (millennials and Gen Z) workforce

Business continuity

Business improvements and efficiencies required to maximise capacity

Effective technology to allow for remote workers

Effective workforce planning and management (inc. ageing workforce and extensive leave liability)

Internal culture of leadership (Council and Executive Teams)

Maintaining staff commitment, engagement and knowledge

Work health and safety requirements

EXTERNAL CAUSES

▼ Changes in employment environment and availability

OWNER To be assigned

CREATED 10/12/2022 10:13:37 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01675	Annual Budget (preparation)	Control operates as intended, MEETS its own objectives	12 months
MC01678	DRAFT Business Continuity Plan	Increased control required, needs implementation	12 months
MC01693	IT Strategic Plan 2015-2020	Control effectiveness needs assessment	12 months
MC01700	Safety Management Plan 2018-2021	Control effectiveness needs assessment	12 months
MC01704	Workforce Plan 2018-2022	Control effectiveness needs assessment	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

R00920

THEME - Leadership; FRAUD; CORRUPTION; BUSINESS CONTINUITY

HEALTH/SAFETY - Failure to maintain safe and healthy workplace

INTERNAL CAUSES Failures in:

- Effective workforce planning and management
- Effective workforce planning and management (inc. ageing workforce and extensive leave liability)
- Hazard and risk management
- Reporting work, health and safety changes
- Training and awareness
- Work health and safety requirements
- Work health and safety systems

OWNER To be assigned

CREATED 10/12/2022 10:13:37 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01689	Governance Framework	Control effectiveness needs assessment	12 months
MC01691	Integrity Framework	Increased control required, needs implementation	12 months
MC01693	IT Strategic Plan 2015-2020	Control effectiveness needs assessment	12 months
MC01699	Risk Management Framework	Control operates well but DOES NOT ALWAYS meet its own objectives	12 months
MC01700	Safety Management Plan 2018-2021	Control effectiveness needs assessment	12 months
MC01704	Workforce Plan 2018-2022	Control effectiveness needs assessment	12 months
MC01711	Emergency Evacuation Plan	Control operates as intended, MEETS its own objectives	12 months
MC01712	Local Emergency Management Arrangements	Control operates as intended, MEETS its own objectives	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

R00921

THEME - Place

ASSETS - Inadequate asset planning, maintenance and renewals

INTERNAL CAUSES Failures in:

- Adaptation and planning management
- Asset condition/age monitoring and planning
- Design and deliver infrastructure that is resilient to environmental change and demands
- Effective asset management planning
- Management of assets to withstand increasing extreme events like flooding, fire, storms (roads, drains etc)
- Monitoring all asset condition to plan effectively for maintenance
- Planning for changes in infrastructure purpose and/or life cycle
- Planning of infrastructure assets; roads, laneways and pathways
- Protecting or enhancing heritage spaces or assets
- Provision of infrastructure to support diverse community need
- Resource availability / obtaining funding opportunities
- Sporting / recreation / cultural facility planning and management
- Understanding community/demographic needs in asset management

EXTERNAL CAUSES

Delegated authority decisions

OWNER To be assigned

CREATED 10/12/2022 10:13:38 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01707	Drainage Asset Management Plan 2011–2031	Control effectiveness needs assessment	12 months
MC01680	Climate Change Strategy 2014-2019	Control operates as intended, MEETS its own objectives	12 months
MC01687	Environment Plan 2014-2019	Control operates as intended, MEETS its own objectives	12 months
MC01708	Property Management Framework	Control operates as intended, MEETS its own objectives	12 months
MC01676	Asset Management Strategy 2014-2024	Control operates well but DOES NOT ALWAYS meet its own objectives	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

R00922

THEME - Economy; THEME - Leadership; FRAUD; CORRUPTION

FINANCIAL - Lack of financial sustainability

INTERNAL CAUSES Failures in:

▲

Adaptability to absorb increased service delivery supply costs

Alternative community support models utilising partnering or grant funding

Alternative income stream development

Asset disposal/sales

Asset planning and investment to support long term community need

Business improvements and efficiencies required to maximise capacity

Continuity planning to identify threat or disruption potential and recovery strategies

Cyber security

Delivering value for money for the community

Ensuring financial capacity, without overextending, relating to major projects including cost increases

Financial and service planning to accommodate changes the economic outlook

Financial data analysis

Fraud, corruption and misconduct control

Investment attraction

Investment fund management

Monitoring of true service costs vs benefit and required adaptation for sustainability

Predicting economic fluctuations

OWNER To be assigned

CREATED 10/12/2022 10:13:38 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key ▲	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01676	Asset Management Strategy 2014-2024	Control operates well but DOES NOT ALWAYS meet its own objectives	12 months
MC01685	Economic Development Strategy	Control operates as intended, MEETS its own objectives	12 months
MC01687	Environment Plan 2014-2019	Control operates as intended, MEETS its own objectives	12 months
MC01691	Integrity Framework	Increased control required, needs implementation	12 months
MC01692	Internal Audit Plan	Control operates well but DOES NOT ALWAYS meet its own objectives	12 months
MC01693	IT Strategic Plan 2015-2020	Control effectiveness needs assessment	12 months
MC01694	Joondalup 2032: Strategic Community Plan 2022-2032	Control operates as intended, MEETS its own objectives	12 months
MC01702	Strategic Financial Plan 2020	Control operates as intended, MEETS its own objectives	12 months
MC01704	Workforce Plan 2018-2022	Control effectiveness needs assessment	12 months

RESIDUAL

Not Assessed

INHERENT

Extreme

R00923

THEME - Place; THEME - Economy

ATTRACTION - Lack of desirability as a place to visit, live, invest and do business

INTERNAL CAUSES Failures in:
▲ Advocacy for transport and infrastructure that supports business, industry and the community
Capitalisation of opportunities
Community events, programs and activities
Identifying crime and anti-social behaviour reduction strategies
Investment partnerships, attraction of new talent / entrepreneurs
Local business and community support
Tourism growth

EXTERNAL CAUSES
▼

OWNER To be assigned

CREATED 10/12/2022 10:13:38 AM

LIKELIHOOD Probable

CONSEQUENCE Intolerable

CONTROL EFFECTIVENESS Inadequate

TARGET STATUS Does not meet target

Control or Treatment Key ▲	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01673	Advocacy Framework	Increased control required, needs implementation	12 months
MC01682	DRAFT Community Safety Plan	Increased control required, needs implementation	12 months
MC01685	Economic Development Strategy	Control operates as intended, MEETS its own objectives	12 months
MC01694	Joondalup 2032: Strategic Community Plan 2022-2032	Control operates as intended, MEETS its own objectives	12 months
MC01710	Cultural Plan	Increased control required, needs implementation	12 months

RESIDUAL

Not Assessed

INHERENT

High

R00924

THEME - Economy; THEME - Environment;
BUSINESS CONTINUITY

WASTE - Inability to meet strategic waste objectives

INTERNAL CAUSES Failures in:
▼
Waste education
Waste disposal environment impact consideration
Waste collection services
Sustainable waste management
Service Continuity
Partnering with external providers e.g. Mindarie Regiounal Council
Financial planning / resourcing

EXTERNAL CAUSES
▼
Mindarie Regional Council and Tamala Park facility end of asset life

OWNER To be assigned

CREATED 10/12/2022 10:13:38 AM

LIKELIHOOD Probable

CONSEQUENCE Undesirable

CONTROL EFFECTIVENESS Strong

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01687	Environment Plan 2014-2019	Control operates as intended, MEETS its own objectives	12 months
MC01702	Strategic Financial Plan 2020	Control operates as intended, MEETS its own objectives	12 months
MC01703	Waste Management Plan 2016-2021 inc LG Waste Plan	Control operates as intended, MEETS its own objectives	12 months
MC01712	Local Emergency Management Arrangements	Control operates as intended, MEETS its own objectives	12 months

RESIDUAL

Not Assessed

INHERENT

High

R00925

THEME - Leadership

LEGISLATION - Inability to influence or effectively advocate for statutory changes that benefits the City’s growth and change

INTERNAL CAUSES Failures in:

- Awareness of legislative change/impact
- Business continuity
- Communication/consultation
- Funding
- Monitoring and response to upcoming changes
- Participation in advocacy opportunities (actual or available)
- Stakeholder management

EXTERNAL CAUSES

- Changes in state priorities and political agendas

OWNER To be assigned

CREATED 10/12/2022 10:13:38 AM

LIKELIHOOD Probable

CONSEQUENCE Tolerable

CONTROL EFFECTIVENESS Not Assessed (part or full)

TARGET STATUS Does not meet target

Control or Treatment Key	Strategic Risk Control Source	Individual Control Effectiveness	Frequency
MC01673	Advocacy Framework	Increased control required, needs implementation	12 months
MC01675	Annual Budget (preparation)	Control operates as intended, MEETS its own objectives	12 months
MC01677	Community Consultation Protocol (July 2020)		12 months
MC01678	DRAFT Business Continuity Plan	Increased control required, needs implementation	12 months
MC01684	Customer Service Plan 2014-2019	Increased control required, needs implementation	12 months
MC01686	Employment of new CEO/Director/Manager process	Control effectiveness needs assessment	12 months
MC01689	Governance Framework	Control effectiveness needs assessment	12 months
MC01693	IT Strategic Plan 2015-2020	Control effectiveness needs assessment	12 months
MC01696	Corporate Marketing Plan 2017-2021	Control operates as intended, MEETS its own objectives	12 months
MC01697	Elected Member Induction Program and Joint Elected Member Induction Program	Control effectiveness needs assessment	12 months
MC01698	Executive Strategic Goal awareness /updates / training	Control effectiveness needs assessment	12 months
MC01702	Strategic Financial Plan 2020	Control operates as intended, MEETS its own objectives	12 months
MC01712	Local Emergency Management Arrangements	Control operates as intended, MEETS its own objectives	12 months