Shire of Serpentine Risk Register - Updated 6th February 2020

Risk Ref No	Strategic Objective	Context	Risk Description	Causes	Consequences	Controls	Control Rating	Consequence Category	Consequence Rating	Likelihood Rating	Level of Risk	Acceptability	Risk Owner	Treatment Action Plans (TAP) / Notes
1	Progressive	Culture	Culture and values not aligned to organisational outcomes and priorities	Lack of a defined and shared culture and values across the organisation; Change management and associated conflicts; Leadership and staff turnover; Failure to embed organisational value in decision-making; Poor communication of desired culture; Failure to ensure good communication / engagement / collaboration across the organisation;	Impact on performance, Reputation damage, Community impact	1. Administration Office Accommodation Reference Group; 2. Employee Relations; 3. Employee Benefits; 4. Biennial Staff Survey; 5. Communication - Management and EMG Meetings, Directorate Meetings, CEO Catch Up, Staff Newsletters; 6. SharePoint / Intranet (Grapevine)	Inadequate	PER REP COM	MAJOR	POSSIBLE	SIGNIFICANT	No - Improvement required	Deputy CEO / Director Community and Organisational Development	1. Finalise the Strategic Workforce Plan **by 31 November 2020**; 2. Implement the following OneComm modules: Licensing **by 31 August 2021**, E-Recruitment **by 28 February 2021**, Training **by 30 November 2021** and Talent and Succession Part One **by 31 May 2021** and Part two **by 30 March 2022**; 3. Review the organisational values **by 30 June 2021**; 4. Implement an bi-annual staff culture survey **by 30 June 2021**
2	Progressive	Organisational Workforce	Inability to attract and retain a quality workforce	Ineffective management of change fatigue / legacy culture (internally); Staff accommodation issues; Unfavourable working conditions compared to other shires/LGs and local employers; Excessive volume of work; Poor organisational morale; Failure to align organisational structure with plans ('optimal');	Impact on performance, Staff turnover	1. 2013 Workforce Plan; 2. Administration Office Accommodation Reference Group; 3. Stay abreast on industrial relations landscape and change; 4. Employee wellbeing program; 5. Work from home option	Adequate	PER	MAJOR	UNLIKELY	MODERATE	No - Improvement required	Deputy CEO / Director Community and Organisational Development	1. Review staff recognition and reward program **by 30 June 2021**; 2. Develop an Employee Value Proposition in line with the new Strategic Workforce Plan **by 31 November 2020**; 3. Review the performance appraisal system **by 30 June 2021**; 4. Review the requirements for office accommodation **30 June 2021**
3	Progressive	Financial sustainability	Failure to ensure financial sustainability	Increasing level of service / expectations; Economic downturn impacting revenue; Limited access to financial information, impacting financial planning; Inaccurate / misleading population growth predictions; Uncertainty over govt. funding; Uncertainty over fees and charges; Changing compliance requirements; Rate strategies	Financial sustainability	1. Asset Management Plans; 2. 2020-30 Long Term Financial Plan; 3. Integrated Corporate Business Plan 2020-24; 4. Sufficient funds for developer contribution matching (Community Infrastructure Reserve within the LTFP); 5. Land holding (as future revenue source); 6. Incorporating the direction of the financial sustainability review; 7. Clear goal of operating costs funded from untied revenue	Inadequate	FIN	CATASTROPHIC	POSSIBLE	SIGNIFICANT	No - Improvement required	Director Corporate Services	1. Progress developer contribution plans (Community Infrastructure DCP - amendment scheme 207 and DCP's for Byford and Mundijong - amendment schemes 208 and 209) **by 31 December 2020** (subject to external approvals); 2. Undertake the Rates Equity Project **by 30 June 2021** (subject to external approval)
4	Place	Organisational Capability	Insufficient organisational capability to support the Shire's growth	Insufficient / weak planning and development to deliver growth; Lack of infrastructure coordination to support growth; Lack of strategic urban and regional planning to deliver sustainable growth; Reactive planning to short term issues which undermines strategic direction; Lack of resources within the planning teams; Lack of community trust in respect of delivery vision for growth; Lack of frameworks to elicit developer contributions for shared infrastructure	Organisational Performance, Reputation, Community impact	1. Draft Local Planning Strategy and Scheme at advanced stages of finalisation; 2. Community Infrastructure Developer Contribution Plan at advanced stages of finalisation; 3. New district structure plans for Byford, Mundijong and Serpentine about to be advertised for community engagement; 4. New developer contribution plans for Byford and Mundijong about to be advertised; 5. Identified preparation of the new local heritage survey; 6. Updated local planning policies specific to rural land use, filling of land, rural outbuildings, R-code variations and unauthorised development; 7. Internal process of development assessment unit and design advisory unit which is supported by the organisation; 8. Process that encourages pre-lodgement for applicants; 9. Risk based approach to development assessment; 10. Strong focus on design quality for major land mark and gateway development sites; 11. Work with community groups to update them on planning activities and to address any concerns as they arise at least annually; 12. Resourced community engagement processes on pivotal planning proposals; 13. Obtain stakeholder and community input on planning proposals; 14. Emphasising an improved practice of customer service for development assessment processes, with a particular emphasis on timeframes and response to applicant enquiries; 15. Undertaking compliance and enforcement activities to ensure land use and development reflects the regulatory framework for the Shire; 16. Upskill design skills through internal discussions with development assessment staff; 17. Continue to build relationships with key developers to sustain shared vision for development outcomes	Adequate	PER REP COM	MODERATE	UNLIKELY	MODERATE	No - Improvement required	Director of Development Services	1. Finalisation of new planning framework (strategy and scheme) **by 31 December 2020** (subject to external approval); 2. Finalisation of community infrastructure development contribution plan **by 31 December 2020** (subject to external approval); 3. Commence preparation of local heritage survey **by 30 June 2021**; 4. Finalise draft district structure plans and associated developer contribution plans **by 30 June 2021** (subject to external approval); 5. Modernise standard condition lists for improved notices of determination **by 30 December 2020**
5	Progressive	Organisational Efficiency	Inefficient business processes and systems	Legacy SILO operations; Lack of robust policies / processes; Inefficient business systems; Paper-based, manual processes; Lack of timely reporting;	Compliance impacts; Impact on long term financial sustainability; Impact on organisation performance; Inadequate fraud control;	1. HR and Finance Modules of Enterprise Resource Planning (ERP) i.e. OneComm; 2. Benefits Register for ERP; 3. Automation Reporting through ERP; 4. Annual delegations review; 5. Policy and procedure review; 6. Internal Audits	Adequate	PER FIN	MAJOR	UNLIKELY	MODERATE	No - Improvement required	Director Corporate Services	1. Automation of business processes in future ERP modules (for example Works and Assets and Corporate Reporting) **by 30 June 2021**; 2. Reporting on OneComm implementation efficiencies as per CEO KPI **by 30 June 2021**; 3. Implement Dashboard Reporting in ERP **by 30 June 2021**; 4. Policy/procedure review schedule and process across the Shire including consideration of a document control system **by 30 June 2022**
6	Place	Bush fire management	Failure to minimise the likelihood / impact of bush fires	Failure of the Shire to respond reasonably and practicably in the management of bush fires as follows: Private: - failure to regulate fire break notices, - failure to educate community on property management, - failure to regulate fire permit permissions and requirements, - failure to support an effective bushfire brigade response, - failure to require land owners to maintain rural verges adjoining their land, - failure to educate land owners on the importance of shared responsibilities, - failure to build community awareness in respect of early and coherent decision making related to fires, - failure to educate the community in respect of safe burning off practices. Public: - failure for the shire to fund reasonable and practicable management of reserves including trails, drains, bush land reserves, multi use corridors and major transportation routes - failure to allocate human resources to manage community engagement and education in respect of bush fire preparedness and prevention, - failure to enter into a MOU with surrounding local governments for response and recovery, - failure to plan for long term development and growth of bush fire brigades, - failure to implement a practice of rural and urban verge management policy, - failure to obtain grants to address high risk areas identified by the endorsed bush fire risk management plan, - lack of internal staff awareness of response and recovery roles and responsibilities	Reputation damage, Environmental impacts, Financial sustainability, Community Unrest, Depopulation, Loss of businesses and associated economic consequences	1. Bush Fire Risk Management Plan (BRMP) adopted by the Office of Bush Fire Risk Management; 2. CESM Partnership between the Shire and DFES; 3. Bush Fire Brigades - Jarrahdale, Oakford, Byford, Mundijong, Serpentine and Keysbrook; 4. 250+ active volunteers; 5. Community Education volunteers (bush fire ready action group (BRAG); 6. Dedicated emergency services team comprising a Coordinator, 2 x Bush Fire Mitigation Officers and a Technical Support Officer; 7. Community Safety Team who undertake prosecution for breaches of fire permits, burn periods and firebreak notice noncompliance; 8. Community Forums; 9. Actively participate in the funding opportunities available under the State Government Bushfire Mitigation Activity Funding program; 10. Operate the Bush Fire Advisory Committee and Local Emergency Management Committee; 11. Enforce total fire bans and harvesting and vehicle movement bans based on fire danger rating; 12. Actively support the training and development of brigades; 13. Empower and provide autonomy for captains to manage fire events with support from DFES; 14. Risk to resource planning; 15. Encourage land owners to prepare their properties year round through the BRAG group; 16. Municipal budget funding for fire breaks, weed management, slashing, forestry mulching etc. for nature reserves; 17. Council Policy Permissible Verge Treatments - Rural	Inadequate	REP FIN ENV	CATASTROPHIC	LIKELY	HIGH	No - Improvement required	Director of Development Services	1. Rural Verge Policy education campaign to require adjoining land owners to actively manage rural verges **by 31 December 2020**; 2. Prepare bush fire management plans for all shire reserves and a schedule of implementation works in accordance with management plans **by 31 December 2021**; 3. Annual calendar of community education and training to assist in preparation and preparedness activities **by 30 December 2020**; 4. Implement the program of works according to the Mitigation Activity Funding Project List **by 30 June 2021**; 5. Record all permits to burn issued by the Shire and ensure community safety team regulate the enforcement of conditions placed on these permits **by 30 June 2021**; 6. Investigate options to improve the management of Shire reserves and roadside drains as it relates to the mitigation of bush fire risk and detail the agreed actions as mitigation strategies **by 31 December 2021.**

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Risk Ref No	Strategic Objective	Context	Risk Description	Causes	Consequences	Controls	Control Rating	Consequence Category	Consequence Rating	Likelihood Rating	Level of Risk	Acceptability	Risk Owner	Treatment Action Plans (TAP) / Notes
7	Place	Environment Sustainability	Failure to ensure / maximise environmental sustainability	Lack of staff training and awareness Competing priorities Lack of shire control over developments Lack of compliance and enforcement of policies due to a lack of head of power Inadequate environmental staff resources Lack of leadership buy-in and drive Lack of proactive environmental engagement into projects Noncompliance with state and federal legislation Inadequate budgets Lack of verge and reserve management	Community impact, Reputation damage, Environmental impacts, Financial impacts, Organisation Performance	1. Urban and Rural Forest Strategy 2. Local Biodiversity Strategy 3. State of the Environment Report 4. Street Tree Policy 5. Urban Verge Policy 6. Rural Verge Policy 7. Biodiversity planning policy 8. Planning Policies (weeds, revegetation) 9. Dedicated Environment Team 10. Clearing Permits / "Licence to take" applications 11. Reserve Management Plans 12. Environmental input in development applications 13. State and federal environmental policy regulation and legislation 14. Budgets for reserve management 15. Partnership with key stakeholders (e.g. Landcare, Switch You Thinking, NGO's, state government agencies) 16.Verge and Reserve Management including community engagement (feral animal control, weed control, fencing, dieback, friends of groups, tree planting etc.)	Adequate	ENV REP COM	MAJOR	UNLIKELY	MODERATE	No - Improvement required	Director of Infrastructure Services	1. Update and review environmental policies and management plans **by 30 June 2022** 2. Create the Significant tree register / tree protection registers **by 31 December 2021** 3. Enhance the Shire's processes to ensure the environmental team are involved / consulted in environmentally impacted projects across the Shire **by 30 June 2022**
8	Prosperity	Asset management	Existing assets fail to meet the minimum requirements for current and future growth	Recent population growth resulting in changing requirements for the assets configuration or level of services; Replacement only focuses on immediate needs, excluding consideration of further usages/opportunities; Asset management plans undervalue cost of replacement; Ageing assets; Insufficient funding; Large number of assets compared to rates base; Conflicting priorities across the organisation; Lack of 'community outcomes' focus; Best value for money option not achieved; Lack of community support;	Financial sustainability, Reputation damage, Physical Impact	1. Seek grant funding to assist in asset upgrades 2. Working with Main Roads and Federal Gov. to obtain bridge upgrades 4. Hypergrowth Network Implementation Plan - Lobby and advocate the Government to assist in upgrading the Shire's hypergrowth roads that are currently underservicing the future population. 5. Asset Management Plans and review of these every two years 6. Asset Register and Finance System including capturing all gifted assets 7. Biennial Community Perceptions Survey 8. Asset Management Strategy	Inadequate	HEALTH REP FIN	MAJOR	POSSIBLE	SIGNIFICANT	No - Improvement required	Director of Infrastructure Services	1. Link operational schedules to assets through the Shire's ERP to better manage funds available **by 30 June 2021** 2. Undertake Asset Rationalisation **by 30 June 2022** 3. Develop a Bridge Asset Register and Management Plan **by 30 June 2022** 4. Develop and implement an asset inspection process (condition, remaining quantity, utilisation) and distribute across the shire **by 30 December 2020**
9	Progressive	Partnerships / alliances	Failure to optimise benefits of partnerships / alliances	Developing relationships and taking opportunities with other local companies Strategies for working with neighbours Structure and culture of LG sector; Failure to consider partnerships (what do you/they need and what can you/they offer) to deliver greater operating power and minimise competition;	Financial, Reputation, Performance	1. State partnership relating to Metronet and Tonkin highway transport infrastructure; 2. Peel Regional Leaders Forum 3. Peel Development Commission 4. Regional Development Australia Perth and Peel 5. Growth Areas Perth and Peel (GAAP) 6. WALGA Networking	Adequate	FIN PER REP	MAJOR	UNLIKELY	MODERATE	No - Improvement required	CEO	1. Exploration of the Shire becoming a City (CEO KPI) **by 30 June 2021**
10	Progressive	Stakeholder management	Failure to manage stakeholder expectations (State and Federal govt. / developers / businesses) * see risk 12 for community stakeholder management	Lack of engagement with stakeholders; Lack of understanding of stakeholder expectations; Conflicting priorities between the council and stakeholders; Nature of the Shire – legacy practices;	Impact on organisation efficiency	1. CEO/Shire President meeting regularly with ministers 2. Election Priorities and Advocacy	Adequate	REL	MAJOR	UNLIKELY	MODERATE	No - Improvement required	CEO	1. Stakeholder matrix / management plan by **30 June 2022**
11	Progressive	Community engagement	Failure to effectively engage with the community to build trust , deliver outcomes and manage expectations	Strong political activism by the community; Key staff turnover; Key person dependencies; Lack of opportunities for engagement; Failure to listen to community requests; Use of legacy engagement practices which don't work in the public value space; Lack of consistent approach to engagement across the business; Increasing expectations exacerbated by social media input; Lack of understanding of how LG works; Community's resistance to change; Conflicting / competing expectations; Legacy systems, processes and issues; Undelivered promises (to the community); Long standing residents with established expectations; Failure to listen to the community; Lack of understanding of community expectations and needs; Failure to monitor social media; Higher level of political activism and political pressure;	Impact on organisation performance; Community Impact	1. Communications strategy; 2. Newly designed website 3. Communication plans for all major projects 4. Biennial Community Perceptions Survey 5. Ensure strong communication and the understanding of expectations of all parties in relation to major projects - management of projects include Project Team meetings (including comms/engagement); 6. Community input into the Shire's vision e.g. Strategic Community Plan 7. Resourced implementation of community priorities e.g. Corporate Business Plan, Long Term Financial Plan	Adequate	PER REP COM	MAJOR	POSSIBLE	SIGNIFICANT	No - Improvement required	Deputy CEO / Director Community and Organisational Development	1. Develop the Engagement strategy by **30 September 2020** 2. Implement IAP2 engagement methodology and training **by 30 June 2021** 3. Implement the Online Engagement Platform **by 30 June 2021**
12	Prosperity	Desirable place - Economy	Failure to be a desirable destination to work and visit	Unsustainable/rapid industry growth; Failure to create local employment and education opportunities; Insufficient focus on tourism / Lack of variety in events and tourism opportunities Poor marketing / failure to establish desirable reputation Insufficent industry opportunities Failure to effectively manage economic growth Inefficient / cumbersome planning system Inadequate telecommunication technology (internet, mobile) Inadequate transportation in and out of the shire (including public transport options and private transport options e.g. safe roads) Lack of comparative/competitive advantage	Community Impact, Depopulation, Loss of businesses and associated economic consequences	1. Developer Contribution Scheme; 2. Structure plans (x2); 3. Local planning strategy and scheme; 4. Economic Development Strategy 5. Tourism Strategy 6. Peel Chamber of Commerce and Industry 7. Integrated Planning and Reporting (LTFP, CBP) 8. Robust Governance Structure (ARG) 9. Community Infrastructure Developer Contribution Plan 10. Developer Contribution Plan's 11. Actively looking for investors 12.Quality control over subdivision conditions 13. Supporting major infrastructure projects (e.g. METRONET, Tonkin Highway) 14. Dedicate Economic Development, Tourism and Marketing resource 15. Major Tourism Events e.g. Opera at the Mill 16. Controls on Risk 8 - Asset Management	Adequate	COM	MAJOR	POSSIBLE	SIGNIFICANT	No - Improvement required	CEO	1. Move towards a place making model for Byford and Jarrahdale town centres **by 30 June 2024** **Tafe** **Trails development** **West Mundijong Structure Plan Industrial**

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						Risk Identification & Analysis								
								Risk Assessment / **Risk Rating**						
13	People	Desirable place - Vibrant community in a rural setting	Failure to be a desirable destination to live	Insufficient / lack of local community services (Govt. / NFPs) to meet increasing/changing needs; Insufficient facilities / amenities to meet community needs; Lack of services that meet the full range of community cohorts (e.g. young people through to seniors) Lack of opportunities for social connection in community Insufficient funding; Lack of cohesion in an increasing multi-cultural community Failure to effectively manage community growth Lack of value for money Unaffordable living costs Diminishing the rural character Inadequate telecommunication technology (internet, mobile) Inadequate transportation in and out of the shire (including public transport options and private transport options e.g. safe roads) Lack of comparative/competitive advantage Inefficient / cumbersome planning system Poor marketing / failure to establish desirable reputation	Community impact; Violence and unrest; Illegal activity	1. Community Infrastructure Plan and Open Space Strategy (CPOS) 2. Ageing Well Strategy 3. Equine Strategy 4. Community Safety Plan 5. Access and Inclusion Plan 6. Community Programs and Events 7. Community Grants Program 8. Mundijong Library 9. Recreation Centre and other sporting and community facilities 10. Club Development Program 11. Youth Team and Activities 12. Continue relationships / engagement with NFPs/Go to attract them to operate from our space 13. Resourced implementation of community priorities e.g. Corporate Business Plan, Long Term Financial Plan 14. State partnership relating to Metronet and Tonkin highway transport infrastructure 15. Controls on Risk 8 - Asset Management 16. Utilise community facilities as spaces for service providers to operate from locally	Inadequate	COM REP	MAJOR	POSSIBLE	SIGNIFICANT	No - Improvement required	Deputy CEO / Director Community and Organisational Development	1. Develop Libraries Strategic Plan outlining lifelong learning and social connection and the plans for a new library premise in Byford **by 30 June 2023** 2. Develop a Community Development Strategy and action plan **by 30 June 2021** 3. Move towards a place making model for Byford and Jarrahdale town centres **by 30 June 2024** **Health Hub**
14	Progressive	Emergency Management	Failure to effectively respond and manage emergencies	Lack of planning / processes Unforeseen / difficult to plan for emergencies e.g. pandemics Lack of up to date emergency and recovery plans Some staff are inadequately trained/don't understand their role in emergency response and recovery Emergency Planning Committee (Shire Office) requires reinvigorating and strategic direction	Impact on organisation performance; Community Impact	1. Business Continuity Plan 2. COVID-19 Business Continuity Plan 3. Local Emergency Management Arrangements 4. Local Recovery Plan 5. Welfare Centre planning and training 6. Draft Emergency management plan (Shire Office)	Adequate	PER COM	MAJOR	POSSIBLE	SIGNIFICANT	No - Improvement required	Deputy CEO / Director Community and Organisational Development	1. Develop a new Business Continuity Plan (incorporating lessons learned through COVID-19) **by 31 December 2020** 2. Complete review of the Local Emergency Management Arrangements and Local Recovery Plan **by 30 September 2020** 3.Finalise the Draft Emergency Management Plan (Shire Office) **by 30 November 2020** 4. Reinvigorate Emergency Management Committee (Shire Office) **by 30 September 2020**