

Shire of Wyndham East Kimberley Strategic Risk Register

Risk Identification Number (RID)	Risk Category	Directorate	Community Strategic Plan	Risk Title	Description of Risk (context)	Likelihood	Impact or consequence	Rating	Current Risk Mitigation	Comments or Actions from Current Risk Mitigation	Risk Owner	Residual Risk Rating	Remediation (CBP = Corporate Business Plan Action Number)	Expected completion date	Status update Remediation Report Q3	Status
1	Service Delivery Interruption	Infrastructure	2.2 Provide sustainable public infrastructure that serves the current and future needs of the community	Asset Management	Failure to manage and implement a Council wide framework for sustainable whole of life Asset management which provides the desired level of service to the community.	Possible	Major	High	Asset Management Plan 2017-2027 CP OPS 3649 Maintenance of Shire Assets CP OPS 3659 Asset Management Policy Operational Works Program	16 sub Asset Plans are being developed by the Infrastructure team to feed into the overarching plan. All sub plans will be completed in 2020.	Director Infrastructure	Medium	CBP 172: Forward Capital Works Plan CBP 172: Periodically Review the Shire Asset Management Plan and Report to Council CBP 172: Regular asset inspections to check condition along with preventative maintenance activities. CBP 172: Asset Condition Report issued to Council to prioritise funding and works. CBP 265: Drainage Upgrade and Creation Program CBP 253: Road Upgrade Program CBP 277, 274, 273: Create Safe and user friendly footpaths CBP 315: Mobile Plant Replacement Program CBP 290: Shire Bridge Management Program CBP 252: Road Maintenance Program	2021	Sub asset plans are on schedule to be completed this financial year. A review is currently being undertaken on the impact of Covid19 - 19 on the program for 2020/2021.	Ongoing
2	Service Delivery Interruption	Corporate Services	4.3 Ensure a strong and progressive organisation delivering customer focused services	Customer Service	Failure to ensure that customer services at the Shire are accessible and effective in resolving issues, providing services and delivering information to the community.	Likely	Moderate	High	CP CS 3280 Complaints Management Policy CP CS 3281 Customer Service Policy 2017 Customer Service Charter	Review of Customer Service Policy and Charter part of Director Corporate Services KPI for 2020.	Director Corporate Services	Medium	CBP 487: Service Delivery Review of Customer Services CBP 147: Digitisation of Records	Mar-20	Review of Customer Services project commenced January 2020. Review team established and draft scope developed. This project has been delayed due to changes in Executive leadership responsibilities and COVID-19. Digitisation of Records project has commenced but has been delayed due to staff vacancy and COVID-19.	Ongoing
3	Service Delivery Interruption	Infrastructure	3.1 To deliver the critical infrastructure that will create the conditions for economic growth across the Shire	Airport Services	Failure to plan and resource a suitable airport facility which meets the long term strategic goals and the region's economic development initiatives.	Almost Certain	Major	Extreme	East Kimberley Regional Airport Master Plan 2017 East Kimberley Air Action Coordination Group	Council Endorsed East Kimberley Air Action Coordination Group Meeting Monthly to discuss ongoing economic development projects at the Kununurra Regional Airport including flights to Melbourne	Director Infrastructure/ Chief Executive Officer	High	CBP 237: Development of Runway Extension Plan CBP 553: Maintain Safety and Emergency Management Capabilities CBP 296: Wyndham Airport - Manage airport facilities CBP 299: EKRA - Airport aviation security improvements CBP 554: Apron East and West End Upgrades	2020	Design contract awarded to GHD. Kick off meeting undertaken on 23rd April 2020. RFI processes underway for the consolidation of design information requirements. Fortnightly meetings to take place to allow oversight of project progression.	Ongoing
4	Community	Governance	3.2 To be business friendly and the Shire of choice for inward investment in the Kimberley	Advocacy	Failure to provide effective advocacy for the Shire and the Region to develop projects, support industry and provide opportunities for all.	Possible	Moderate	High	Active Participation of Council on Committees Working with the EKCCI on joint projects and grants	Councillors endorsed onto Committees at the November 2019 Ordinary Council Meeting	Chief Executive Officer	High	CBP 550: Development of an Economic Development Plan CBP 308: Wyndham Port Logistics Study CBP 228: Provide Support to EKMG CBP 215: Identify Services that can collocate in Wyndham CBP 230: Advocate Black Spot Programs CBP 460: Advocate for Airport Enterprise Precinct CBP 226: Deliver ANW Tourism Contribution CBP 238: Facilitate Funding Program for water reuse scheme at the KGC CBP: Update Public Access Forecasting Data CBP 227: Provide funding to the Kununurra VC Participate in the Kimberley Regional Group and Kimberley Zone joint initiatives	Mar-20	Economic Development Plan expected completion by December 2020. RFQ and evaluation process now complete, appointment of preferred supplier imminent. Grant application for the Wyndham Port Logistics Study unsuccessful. Suggest dropping this project at this stage as the asset is State owned. COVID-19 economic stimulus initiatives been investigated by the KRG.	Ongoing

5	Community	Planning and Community Development	1.2 Increase community participation in sporting, recreation and leisure activities	Community Services	Failure to provide community services which meet the needs and expectations of the community to support social cohesion and participation.	Likely	Major	High	CP COM 3580 Community Development Recreation Space Strategy 2016 - 2020 Trails Master Plan 2017 Draft Kununurra Leisure Centre Redevelopment Design CP PMG-3780 Leasing of Council Managed Reserve Land - Community CBP 399: Create Community Safety Plan CBP 401: Seek Funding to extend CCTV CBP 405: Provide support to TAMS and Advocate for banned drinkers register	Desktop review of Recreation Space Strategy has commenced and is hoped to be in draft by June 20 Whilst funding was obtained for Stage 1 trail from Lakeside Link Path to Celebrity Tree Park the resultant quotations exceed the current budget allocation and the project may not proceed in its current form. KLC (redevelopment) Business Case and cost benefit analysis to be presented to the May Ordinary Council Meeting for adoption.	Director Planning and Community Development	High	CBP 311: Review the Recreation Space Strategy KLC Redev March 2020 First stage of Trails Master Plan July 2020 CBP 454: Recreation Facilities Renewal Program Wyndham CBP 428: Recreation Renewal Facilities Program Kununurra CBP 448: Finalise Kununurra Leisure Centre Redevelopment Design and Business Case CBP 395: Implement actions identified in the Trails Master Plan CBP 211: Event Precinct Master Plan CBP 216: Prepare updated land use planning and growth plans Service Area: Provide community leases to various community groups in line with CP PMG-3780 Leasing of Council Managed Reserve Land - Community to support community organisations in the provision of services, facilities and events.	Rec Space July 2020 Officer preparing draft Recreation Space Strategy and plans to have a draft available for review by June 2020. This will inform many of the actions related to this risk. The draft KLC redevelopment business case is being reviewed and will be submitted to Council at the May Ordinary Meeting.	Ongoing	
6	Community	Planning and Community Development	1.3 Promote quality education, health, childcare, aged care and youth services	Community Development	Failure to facilitate community development initiatives which support positive social outcomes for community members, including; health, aged care, youth services and Indigenous services.	Possible	Moderate	Low	Disability Access and Inclusion Plan CP/COM - 3580 Community Services Policy Kununurra Waringarri Aboriginal Corporation (KWAC) Deed of Agreement Wyndham Youth Aboriginal Corporation Memorandum of Understanding. MG MoU CP PMG-3780 Leasing of Council Managed Reserve Land - Community	DAIP is required to be reviewed every two years, and is due for review. Community Services Policy identifies the need to research and document the social needs of the community, and to support the development and/or maintenance of a diverse range of external services delivered by the community-based sector. KWAC Agreement is for the Shire to provide funding of \$75,000 funding for the provision youth services in Kununurra. WYAC MOU outlines the joint provision of youth services in Wyndham. The Shire provides access to facilities (Wyndham Recreation Centre) and a SWEK Wyndham Youth Officer, an 0.6 FTE position funded through the Department of Communities. The Shire owns the childcare centre buildings in Kununurra and	Director Planning and Community Development	High	CBP 211: Review and implement the Disability and Access Inclusion Plan. CBP 487: Review Community Services Policy, identify social needs of community, and support the community based sector to provide a diverse range of external services delivered by the community-based sector. CBP: Advocate for East Kimberley Youth Hub CBP 349: Continue to partner with KWAC and WYAC to ensure the provision of youth services in Kununurra and Wyndham. CBP 336: Finalise lease renewal process for the Kununurra and Wyndham childcare centre buildings. CBP 370: Work with community to develop Arts and Culture Plan CBP 371: Update and Promote Future Leaders Program CBP 372: Deliver Community Grants	Jul-20	DAIP being updated. Progress with the WYAC MoU deferred. Expect similar deferral of activity related to childcare centres.	Ongoing
7	Environment	Infrastructure	2.2 Provide sustainable public infrastructure that serves the current and future needs of the community	Waste Management	Failure to plan and resource a suitable waste management program or facility which is sustainable, reduces environmental degradation, improves public safety and complies with regulatory requirements.	Unlikely	Moderate	Medium	Licence Agreements with the Department of Environment Closure Plans for existing sites, developments and costings New KNX site identified and permissions and licencing requirements met	WY landfill site - implementation of Council resolution Budget process 2020/21 to consider waste services manager KNX new landfill site action plan to be developed	Director Infrastructure	High	CBP 487: Development of a Waste Management Strategy for both Landfill sites. CBP 377: Development of Works program for WY Landfill Site and the proposed new KNX site. Table change to establishment request in budget process including funding options.	Jul-20	Contact made with DWER to try and obtain an in principle approval of the proposed site. Monitoring bores now installed to provide date to DWER. Heritage survey completed.	Ongoing
8	Environment	Planning and Community Development	2.1 Conserve the Shire's unique environment for the enjoyment of current and future generations	Heritage	Failure to secure land which promotes heritage and meets the operational and service delivery requirements of the Shire.	Likely	Moderate	High	Lake Kununurra Foreshore and Aquatic Use Plan Local Planning Strategy 2019 Activities and Thoroughfare Local Law 2005 Parking and Facilities Local Law 2003 Fencing Local Law 2017 Extractive Industries Local Law 2003 Property Local Law 2003 CP HTH-3761 Licensing of Overflow Sites in Caravan Parks and Camping Grounds CP HTH-3762 Licensing of Temporary Caravan Parks and Camping Grounds CP PMG-3781 Leasing of Council Managed Owned Land-Commercial CP PMG-3780 Leasing of Council Managed Reserve Land - Community	The Shire will be required to develop a Heritage List, which will replace the previous Municipal Heritage Inventory, under the Local Planning Scheme to identify places within the Scheme area that are of cultural heritage significance and worthy of built heritage conservation. This is identified in the CPB to commence in the 2020/2021 financial year. Engagement related to this activity may be restricted by impact of COVID-19	Director Planning and Community Development	High	Service Area: Review of Local Laws and Policies to Align with the new local planning strategy and planning scheme. CBP 440: Develop a Heritage List for the Shire. CBP 211: Lake Kununurra Foreshore Committee to be reactivated in February 2020. CBP 234: Prepare Priority Place Plans	2020 2022	Infrastructure directorate responsibility with respect to local law matters. Updates to the Kununurra Foreshore and Aquatic Use Plan and to the Shire's Heritage List are currently deferred and will be reviewed later in the Calendar year.	Ongoing

9	Environment	Planning and Community Development	2.1 Conserve the Shire's unique environment for the enjoyment of current and future generations	Regulatory Services	Failure to manage developments and projects in line with regulatory planning, building and health requirements, leading to a poorly developed region and environmental degradation.	Likely	Major	High	Local Planning Scheme 9 Health (Food) Local Law 2009 Health Local Law 2003 Dogs Local Law 2003 Cemeteries Local Law 2003 Bush Fire Brigade Local Law 2017	Local Law Review Process to commence February 2020	Director Planning and Community Development Director Infrastructure	Low	CBP 343 : Development of a Shire of Wyndham East Health Plan CBP 166: Review of Local Laws and Council policies.	2022	No update from previous quarter	Ongoing
10	Finance	Corporate Services	4.4.4 Apply best practice financial management to ensure long term sustainability	Resourcing Funding Requirements	Failure to adequately resource and manage funding requirements which meet the needs of the Shire's service delivery requirements and strategic objectives	Unlikely	Major	Medium	Annual Budget Long Term Financial Plan Audit Finance and Risk Committee Meets Quarterly CP FIN-3200 Strategic Rating Policy CP FIN-3201 Significant Accounting Policies CP FIN-3203 Investments CP FIN-3204 Purchasing Policy CP FIN 3208 Rates Exemptions for Charitable Organisations (Non-Rateable Land) Attachment A CP FIN-3212 Rates and Charges Debt Collection CP FIN-3215 Self-Supporting Loans CP FIN-3214 Sundry Debt Collection CP FIN-3217 Regional Price Preference	Policies updated in accordance with schedule and operational requirements. Policies and Organisational Directives reviewed on a rotational basis when due.	Director Corporate Services	Medium	CPB 167: Implementation of LTTP and Annual Budget	Jul-20	CP FIN-3204 Purchasing Policy - Reviewed at March 2020 OCM. Next review in 2 years in accordance with review schedule. CP FIN-3217 Regional Price Preference - Reviewed at April 2020 OCM. Next review in 2 years in accordance with review schedule. CP FIN-3218 Pre-Qualified Supplier Panel Policy - Reviewed at March 2020 OCM. Next review in 2 years in accordance with review schedule. Annual budget process in progress with adoption anticipated to occur in June 2020. Budget process will take into consideration the impact of COVID-19 on revenue and cash flows. As the full impact is unknown at this stage the Residual Risk	In Progress
11	Finance	Corporate Services	4.1 Effective representation through advocacy at a regional, state and national level	Government Funding	Failure to resource a change in material funding from State and Federal funding arrangements.	Unlikely	Major	Medium	Annual Budget Long Term Financial Plan	Monitor the critical funding sources for the Shire such as FAG's and Roads to Recovery	Director Corporate Services	Medium	CPB 167, 53: Periodically Review the Shire's Long Term Financial Plan against the objectives in the Strategic Community Plan and Corporate Business Plan CPB 253: Monitor the critical funding sources for the Shire such as FAG's and Roads to Recovery	Jul-20	Update of Long Term Financial Plan has not progressed due to the change in responsibility of Executive leadership and the advent of the COVID-19 virus. This is envisaged to be completed in the first quarter of 2020/21. Annual budget process in progress with adoption anticipated to occur in June 2020.. Budget process will take into consideration the impact of Covid-19 on revenue and cash flows. As the full impact on State and Federal funding is unknown at this stage the Residual Risk has been left at Medium.	In Progress
12	Finance	Corporate Services	4.4 Sustainably maintain the Shire's financial viability	Forward Planning	Failure to manage the disbursement of funds to meet the needs of the Shires forward planning requirements, including the Strategic Community Plan, Corporate Business Plan, Long Term Financial Plans and Annual Budget.	Possible	Major	High	Quarterly Progress Reporting of the Corporate Business Plan Quarterly Reporting and Risk Assessment of Forward Planning Documents and Strategic Risks Monthly management accounts produced and budget variances analysed and reported on	First Strategic Risk Document created, reporting on Quarter 2 Workshops Commenced for mid-year Budget Review	Director Corporate Services	Low	CPB 167: Corporate Business Plan Review CPB 167: Mid Year Budget Review CPB 167: Monthly Management accounts CPB 167: Monthly Financial Report to Council	Jun-20	Mid year budget review adopted at February OCM. Monthly Management accounts produced to March 2020. Monthly Financial Report to Council to 31 March 2020 reported at April OCM. All reporting requirements to ensure responsible budget management and monitoring of expenditure against Corporate Business Plans is being undertaken and being reviewed as required as part of the COVID-19 Business Continuity Response Plan.	In Progress
13	Legal and Compliance	Governance	4.3 Ensure a strong and progressive organisation delivering customer focused services	Governance Framework	Failure to manage a governance framework which transparently embraces good governance practices	Likely	Moderate	High	Annual Completion Compliance Audit Return Interim and Annual Financial Audits Strategic Risk Reporting Quarterly to Audit Finance and Risk Committee	Compliance Audit Return due 31 March 2020 Interim yearly audit completed October 2019.	Chief Executive Officer	Low	CPB 166: Development of a formalised Shire Governance Framework CPB 166: Formalised reporting on Strategic Risks to Council	2020	In Response to COVID-19 the Shire has developed business Continuity Management and Response planning. This work has captured each of the Shire's service area profiles, as well as the operational plan and response for the continuation of essential services. A Business Continuity Management and Response Team has been developed to respond to COVID-19 issue. The information captured has been integrated into the Shire's service plans.	In Progress

14	Legal and Compliance	Governance	4.4 Sustainably maintain the Shire's Financial viability	Regulation 17	Failure to manage the appropriateness and effectiveness of the Shire's systems and procedures in relation to risk management, internal control and legislative compliance	Possible	Moderate	Medium	Audit Regulation 17 Review conducted by external Auditor	Regulation 17 Review Conducted by Moore Stephens August 2018. Recommendations from the review were forwarded to the Audit Finance and Risk Committee for review	Chief Executive Officer	Medium	CBP 164: Implementation of recommendations from Regulation 17 Review	Aug-21	The Risk and Opportunity Framework has been applied to develop an organisation-wide Risk Analysis of Shire business in response to COVID-19. The Analysis then prioritises essential service delivery in relation to the pandemic, as well as the mitigation of those risks operationally. April update was presented to Council at the April 2020 OCM and there were significant mentions of delays to projects because of the COVID-19 event.	In Progress
15	Operational	Governance	4.3 Ensure a strong and progressive organisation delivering customer focused services	Council Policy	Failure to develop appropriate, meaningful policies which enable the administration to perform in an effective and efficient way.	Unlikely	Moderate	Medium	Policy Management Policy Implemented by Council, which includes a policy review schedule Essential Councillor Training	newly elected Councillors signed up for Councillor Essentials Training with WALGA	Chief Executive Officer	Low	Service Delivery Area: Ongoing Councillor Training	2021	Policy Management Policy was reviewed in Q3 to reflect the emergency response required for COVID-19. This allows the CEO to approve minor changes to made to a policy in response to an emergency, with consultation with the Shire President. A Financial Hardship Policy was adopted at the April 2020 OCM, which has several provisions for financial assistance to debtors and rates in an effort to minimise the effects of the pandemic. A Coronavirus (COVID-19) Emergency Response and Recovery Policy was also adopted at the April 2020 OCM, containing several broad aims to assist the administration in planning and response to the crisis locally. The Regional Price Preference Policy has also	Not started
16	Operational	Corporate Services	4.3 Ensure a strong and progressive organisation delivering customer focused services	ICT	Failure to implement and maintain an Enterprise Information, Communication and Technology System which provides for needs, future requirements and business continuity for the Shire's operations.	Possible	Moderate	High	CP ICT Information Management and ICT Acceptable Use Policy CP ICT -3282 CCTV Management and Operation Manual	Evaluate the IT infrastructure with respect to emerging technology. Evaluate the Shire's enterprise solution against other products that could provide a better and more cost effective service	Director Corporate Services	Medium	CBP 164: Business Continuity Plan CBP 196: ICT Strategic Plan CBP 196: IT Server Back-up Plan CBP 196: Alternative Administration Location Plan	2020	ICT Strategic Plan currently being formulated. Should be ready for discussion in Q4. ICT Business continuity requirements relating to Covid-19 being implemented and monitored as part of the COVID-19 Business Continuity Response Plan.	In Progress
17	Operational	Governance	4.2 Good decision making though engagement with the community	Council Decision Making	Failure to make Council decisions which allow for efficient and effective use of operational resources to deliver services which meet the needs of the community and region, comply with statutory requirements and promote economic and social development.	Possible	Moderate	High	Council Briefing Sessions from the Administration Audit Finance and Risk Committee to make recommendations to Council on high risk issues Detailed Budget Workshop's to deliver information	Budget Workshops to commence in February in preparation for the 2020-21 budget	Chief Executive Officer	Low	Service Area: Schedule Meetings in accordance with legislation and Nominate Councillors to Committees	Dec-20	Council Set new KPI's for the interim period of the Acting CEO. This included a service structure review in response to COVID-19 as well as the re-prioritisation of previous KPI's	Ongoing
18	Reputation	Planning and Community Development	1.1 Bring community together and promote our rich culture and heritage	Community Engagement	Failure to undertake effective community engagement strategies which develop the Shire's understanding of the needs and aspirations of the community, grow community capacity and ensure supportable outcomes are reached with stakeholders.	Possible	Major	High	CBP 1 Community Scorecard and Reporting Consultation Strategic Community Plan Consultation Corporate Business Plan Consultation on Key Projects as part of project development Council Reports require comment on Community Consultation Prepare a Reconciliation Action Plan	Ongoing reporting of Corporate Business Plan progress is at Q3 although impact of COVID-19 will make it difficult to commence engagement for the purpose of preparing an Aboriginal Engagement Plan	Director Planning and Community Development	High	CBP 57: Review Communications Policy to ensure effective engagement with the community CBP 376: Prepare an Aboriginal Engagement Plan	Jan 2020 2022	There has been no update with regard to the Reconciliation Plan which is being reviewed by an internal working group.	Not started
19	People Health & Safety	Infrastructure	2.2 Provide sustainable public infrastructure that serves the current and future needs of the community	Community Safety	Failure to manage and implement an effective, forward planned capital works program which meets the safety and functional requirements of the community.	Likely	Major	High	Kununurra and Wyndham Emergency Management Arrangements 2016 Kununurra and Wyndham Emergency Management Plan 2016 Long Term Financial Plan Asset Management Strategy, Asset Management Policy and Forward Capital Works Programs	Review of LTFP underway to be presented with 2020/21 Annual Budget Detailed Asset Management Plans and Forward Capital Works Programs being developed.	Director Infrastructure	High	CBP 172: Develop Forward Capital Works Program CBP 172: Undertake Survey and Design works. CBP 172: Prepare and issue RFQ's to the open market. CBP 414 Review ERMP CBP 471: Wyndham Boat Ramp - Complete design and construction documentation for funding to replace structure	Jan-21	Design is almost completed which will enable the Shire to go to market for construction. Program is at risk as a result of Covid19 - 19, projects may be delayed and executed in the 2020/2021 financial year.	Ongoing

20	People Health & Safety	Corporate Services	3.3 Develop and retain skilled people that business needs to succeed	Organisational Culture	Failure to create and maintain an organisational culture which promotes a safe and positive work environment, fosters employee satisfaction, motivates employees to perform and increases organisational effectiveness	Likely	Major	High	Workforce Plan 2017-2027 Enterprise Agreement 2017-2020 Bi-Annual Culture Survey Annual Performance Review of the Chief Executive Officer Robust recruitment and retention processes and practices	Resignation of Chief Executive Officer has required a significant budget allocation. Acting CEO appointed during recruitment process Action Plan from Staff Survey to be implemented	Chief Executive Officer/ Director Corporate Services	High	CBP 351: Implement a Shire Development Traineeship Program CBP: Employment of a new Chief Executive Officer CBP 361: Review of Workforce Plan scheduled for 2020 CBP 361: Continuous improvement of recruitment and retention processes and procedures CBP 361: CULTYR Survey Action Plan approved by OMT and EMT CBP 198: Review Workforce Management Plan	Jul-20	Employment process to appoint a new Chief Executive Officer in progress. Acting CEO appointed to fill role on an interim basis CULTYR Survey Action Plan under development for submission to OMT. Staff wellbeing measures during COVID-19 being implemented through the provision of information and support services and the LG Professionals Employee Resilience Scorecard	In Progress
21	People Health & Safety	Corporate Services	3.3 Develop and retain skilled people that business needs to succeed	Staff Deficiency	Failure to attract and retain suitably qualified and experienced technical staff to meet organisational requirements.	Almost Certain	Major	Extreme	Workforce Plan 2017-2027 Adequate Budget Allocation for recruitment and retention of staff Annual Performance Management of the Chief Executive Officer Robust recruitment and retention processes and practices.	Workforce Plan to be reviewed in 2020 Action Plan from Staff Survey to be implemented	Director Corporate Services	High	CBP 361: Review of Workforce Plan	Jun-20	Workforce Plan review to be included in KPI of Manager HR Annual Budget Process commenced. Briefings with Council in May will incorporate a response to COVID-19. CULTYR Survey Action Plan under development for submission to OMT. Workforce Plan review being undertaken as part of the 2020/21 budget process taking into account changed operational requirements and support of existing staff during COVID-19.	In Progress