

District Council of Peterborough



Amalgamated 1997

**DISTRICT COUNCIL
of
PETERBOROUGH**

**Risk Management
Policy
(Corporate / Governance)**



DISTRICT COUNCIL of PETERBOROUGH

RISK MANAGEMENT POLICY - CORPORATE / GOVERNANCE

Adoption Reference:	Council Meeting 21/06/2021 Resolution 23/21
Applicable Legislation:	Local Government Act 1999, Civil Liabilities Act 1936, Work Health Safety Act 2012. International Standard ISO 31000: 2009 Risk Management – Principles and Guidelines. This Policy is based on a model policy prepared by the Local Government Association Mutual Liability Scheme.
Version:	The electronic version of this document is the controlled version. Printed copies are considered uncontrolled. Before using a printed copy, verify that it is the current version.
Accessibility:	This Policy, and all policies and By-Laws, are available for viewing, downloading or printing from Council's website: www.peterborough.sa.gov.au Hard copies can be provided in accordance with Council's Fees and Charges at the Council office at 108 Main Street, Peterborough, SA 5422 during ordinary business hours.
Grievances:	Any grievances in relation to this Policy or Code, or its application, should be forwarded in writing addressed to the Chief Executive Officer of Council.
Review Dates:	

1. PURPOSE

- 1.1 The purpose of the Risk Management Policy (the Policy) is to enable an integrated and systematic approach to risk management through:
- The District Council of Peterborough commitment to core risk management principles;
 - Defining responsibilities for the application of risk identification, assessment, evaluation and treatment programs across Council operations;
 - A Risk Management Framework (“the Framework”) that provides the tools and programmes to underpin Council’s approach to achieving a balance between the costs of managing a risk and the anticipated benefits.
- 1.2 The management of risk will be integrated into Council’s governance structures, including decision-making. Risk Management leads to the successful achievement of Council’s Vision, Strategic Plan Objectives and community expectations.
- 1.3 To achieve the objectives of the Policy and the Framework.

2. POLICY STATEMENT

- 2.1 Council is committed to maintaining and applying governance and risk management principles to ensure that any impacts to strategic and business objectives are considered and analysed.
- 2.2 Council will adopt and implement a systematic approach to identify, assess, evaluate and treat (mitigate) risks. The risk management program involves identifying opportunities to ensure Council achieves its strategic goals whilst recording and managing its operational risks.
- 2.3 Management will lead, actively participate and have complete oversight over all aspects of risk management within their areas of responsibility.
- 2.4 Council will maintain the Risk Management Framework consistent with the guidelines and principles of risk management as set out in the Australian Standard AS ISO31000:2018 – Risk Management Guidelines, with the goal of providing a consistent approach for dealing with uncertainties likely to impact on the achievement of Councils Vision.
- 2.5 The Risk Register will be periodically and consistently reviewed in accordance with set timeframes identified in the Framework.

3. PERFORMANCE MEASURES

The performance of the risk management program will be measured through three distinct categories:

- Compliance with the Policy and related documentation
- Value add to the whole of Council
- Maturity of Council Risk Culture

4. LEGISLATIVE REQUIREMENT AND POLICY CONTEXT

- 4.1 Section 125 of the Local Government Act 1999 ('LG Act') requires Council to ensure that appropriate policies practices and procedures of internal control are implemented and maintained in order to assist the Council to carry out its activities in an efficient and orderly manner to achieve its objectives.
- 4.2 Section 132A of the LG Act requires Council to ensure that appropriate policies, practices and procedures are implemented and maintained in order to ensure compliance with statutory requirements and achieve and maintain standards of good public administration.
- 4.3 Section 134(4) (b) of the LG Act requires Council to adopt risk management policies, controls and systems.

5. DEFINITIONS

Definitions are outlined within the Framework.

6. ROLES & RESPONSIBILITIES

6.1 Council

Council is responsible for the approval of this Policy and Framework, and overseeing the systematic approach to managing risk across Council operations.

6.2. Audit Committee

The Audit Committee is responsible for obtaining assurance from the Council that appropriate policies, practices and procedures of internal control are implemented and maintained in order to assist the Council to carry out its activities in an efficient and orderly manner to achieve its objectives, to ensure adherence to management policies, to safeguard the Council's assets, and to secure (as far as possible) the accuracy and reliability of Council records.

6.3 Chief Executive Officer (CEO)

The CEO has the responsibility for ensuring that:

- the framework is established and implemented and
- risk management is integrated into Council's activities and functions.

6.4 Senior Leadership Team (SLT)

Members of the Senior Leadership Team are responsible for:

- Commitment to promotion of this Policy and the Framework whilst monitoring Council's overall risk profile and controls;
- Reporting the status of Council's risk profile and mitigation strategies to the Audit Committee;
- The implementation, management and evaluation of risk management, in accordance with the Policy and Framework within their areas of responsibility;
- Undertaking the risk management program as per the requirements of the Policy and Framework; and
- Ensuring that risk based information is recorded in Council's Risk Register.

6.5 Risk Management Team (Risk, Governance & WHS)

The Risk Management Team is responsible for:

- Assisting the Senior Leadership Team to develop, implement and maintain the risk management framework and program in a systematic and standardised manner;
- Development and maintenance of a Risk Register(s) that records reasonably foreseeable Operational and Strategic risks, including risk mitigation strategies;
- Assisting the Senior Leadership Team in development and compilation of reports relating to Council's risk profile and mitigation strategies.

6.6 Employees, Volunteers and Contractors (Workers)

All Council Workers are responsible for:

- Identifying, evaluating and managing risks in their daily activities and projects;
- Adhering to the requirements of Council's risk management policy and framework.

7. AVAILABILITY

7.1 The Policy will be available on Council web site with hard copies supplied on request.

7.2 The Framework is available to Council employees on Council's record management system.

Attachment 1 – Areas of Risk

Aerodromes	
Animal Management	
RV Facilities	
Cemeteries	
Community Development	
Council Land & Buildings	Includes: Building Safety; Hire of Council Facilities; Leasing Arrangements
Economic Development	
Emergency Management	Includes BCP
Event Management	
Financial Management	
Governance	Includes: Special Committees; Elected Members
Health - Inspections	Food and other health inspections (proactive and reactive)
Human Resources	
Information Technology	
Library Services	Including home library, mobile library etc.
Planning & Development	Includes: Development Act; Development Assessment; Section 7
Playgrounds/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
Sport/Recreation/Leisure	Includes Leisure Facilities/Services; Recreational Reserves - sport & non-sport
Swimming Pools	
Tree Management	
Tourism	Tourism - Visitor Centre
Volunteers	
Waste Management	Includes: Rubbish Collection; Recycling
Water Management	Includes: CWMS; Drainage