



Policy Title: ENTERPRISE RISK MANAGEMENT POLICY

Policy Type: ADMINISTRATIVE
 (Statutory, Financial, Administrative, Human Resources)

Policy Number: A003

Approved by Council	Last Review	Current Review	Next Review
	19 May 2020	18 May 2021	May 2022
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Implementation Department		Officer Name	
Corporate Services		Director Corporate Services	
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4.0	01-03-A003		

1. Policy Background/Scope:

This policy is intended to demonstrate that council understands and manages risk and seeks to ensure that there is consistency in the methods used in assessing, monitoring and communicating risks across the organisation.

The objective is to develop and maintain a framework for managing strategic and operational risk to ensure that the community and the council are protected against loss by adding clarity and confidence to decision making. This will place council in a position to capitalise on opportunities by providing better understandings of the implications of risks and decisions over the long term.

Some of the key drivers for risk management include sound governance, legislative frameworks, decision making, environmental sustainability and financial sustainability. It applies to all areas of the organisation. Risk management will be:

- Integrated into corporate and operational planning (using these documents to establish Council's risk context);
- Used as a critical business tool in decision making (by assessing the risk of Council activities in the allocation of scarce resources);
- Used as a critical part of project management (to create an awareness of and need to mitigate the financial, safety, project delivery risks through the various phases of larger-scale projects).

2. Policy Provisions:

Council's risk management approach is based on the following key principles, actions and outcomes:

- Accountability for Risk Management rests with the Executive Management Team;
- Risk Management will be monitored at Executive Management Team meetings on a periodic basis;
- Significant strategic and operational (departmental) risks for the Council will be identified and prioritised;
- risk treatment plans to address unacceptable levels of risk in Council' operations will be developed having regard to the availability of resources (human, budgetary and financial);
- Timelines, resources and budget will be allocated to address the risks that are recognised as being the most important to Council;
- Risk management reporting will occur periodically. Council's risk prioritisation will be reviewed at least every two (2) years to ensure it continues to reflect the organisation's position;
- Significant projects will be considered for project-specific risk assessments;
- Skills in risks management practices will be developed in house with assistance from consultants as necessary.

3. Roles and Responsibility

Council – adopts this policy and retains the ultimate oversight responsibility for risk management and for determining the appropriate level of risk that it is willing to accept in the conduct of Council business activities.

Chief Executive Officer, supported by the Executive Management Team – is responsible for identifying, evaluating and managing risk in accordance with this policy through a formal enterprise-wide risk management framework. Formal risk assessments must be performed at least once every two years as part of the business planning and budgeting process.

Report annually on the progress made in implementing a sound system of risk management and internal compliance and control across council's operations to Council.

Line Managers – are responsible for the accuracy and validity of risk information reported in the Risk Registers

Managers & Supervisors – responsible for ongoing review of risk mitigation activities and implementation of directives from senior management to address risks. Communicate any unforeseen risk issues to senior management to ensure new and emerging risks are captured.

All staff – responsible for ongoing monitoring and review of risks which they have responsibility for (own). Preparation of reports for the risks which they own, if and when requested.

4. Policy

Council will manage risk in accordance with the Australian and New Zealand Standard ISO 31000-2009. This policy requires adherence to the following principles:

- Risk management demonstrates sound governance through accountability, transparency and responsiveness.
- Risk management is a strategic business tool to promote better informed decision making.
- Risk management is a whole of council concern.
- Risk management will reduce exposure of the community to losses through the integration of risk management in corporate and operational planning (including program and project planning and implementation).
- Risk management will protect council's reputation and image as a professional, responsible and ethical organisation.
- Operational Risks will be reviewed each year in conjunction with Internal Audit and any changes communicated to line staff affected by the change.

5. Definitions

Council – Aurukun Shire Council

Risk – A risk to the business is any action or event that produces uncertainty over the achievement of Council's objectives. Risk also arises as much from the possibility that

opportunities will not be realised as it does from the possibility that threats will materialise or that errors will be made.

Risk Management - Risk management for Council refers to the culture, processes and structures developed to effectively manage potential opportunities and adverse effects for any activity, function or process undertaken by the Council.

Managing risk is achieved through the systematic application of policies, procedures and practices to identify, analyse, evaluate, treat, monitor and communicate risk.

Enterprise Risk Management (ERM) – Enterprise risk management encompasses all the major risk categories (including financial, environmental, health and safety, fraud, information technology, compliance, security and business continuity) and includes the co-ordination, integration, consolidation and consistency of reporting by the various council functions with identified risks.

6. Related Documentation:

Local Government Act 2009

Local Government Regulations 2012


AS/NZS ISO 31000: 2009 Risk Management – Principles and Guidelines



Policy Title: INCOMING AND OUTGOING MAIL POLICY

Policy Type: ADMINISTRATIVE
 (Statutory, Financial, Administrative, Human Resources)

Policy Number: A004

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1. Policy Background/Scope

Mail must be dealt with in a manner which promotes the efficient and confidential handling of all incoming and outgoing mail. This Policy is to identify the procedures and Council philosophy on managing the flow of documentation both within the Aurukun administrative office and the Cairns branch office.

2. Policy Provisions

Definitions:

Incoming Mail is all correspondence, magazines, circulars, advertising material, copies of emails and packages received.

Outgoing Mail is all correspondence, magazines, circulars, advertising material, copies of emails and packages sent.

Personal Mail is all mail addressed to the individual employee. All new employees should be advised, to avoid confusion, that all personal mail should be addressed to their street address in Aurukun.

Tenders are confidential quotes for work by non-council employees that have been formally advertised in the public arena via public advertisement.

References to actions and nominated staff include both Aurukun Administration office and Cairns branch office

Responsibilities:

Managing Incoming and Outgoing Mail

- The Receptionist opens mail and hands to EA, and is responsible for managing and recording all Incoming mail on a daily basis
- The Administration Manager/Receptionist, or delegate, is responsible for managing and recording all Outgoing mail on a daily basis.

Collecting Incoming Mail

- The Administration Manager/Receptionist, or delegate, is responsible for collecting the mail from the post office box.
- When mail is collected from the post office box to bring back to the council office, it must be placed in a bag to ensure it is not lost.

3. Procedures

Incoming Mail

The Receptionist must sort all the external and internal incoming mail as soon as it arrives.

Check incoming mail for:

- Damage or opened mail/packages
- Contents and enclosures (Gifts over \$100.00)
- Suspicious appearance or sounds

Action required for damaged or opened mail:

- Report to the addressee immediately
- **If items are missing, follow the procedure for missing contents.**

Action required for mail with missing contents:

- If relevant, organise for replacement items to be sent.
- If required, complete and submit insurance forms for damaged or missing items.

Action required for suspicious mail:

- Suspicious mail should not be handled.
- Notify the Chief Executive Officer immediately.

Sort mail into bundles:

- (a) Mail marked **Urgent** or sent by express post
- (b) Mail marked **Confidential**
- (c) Routine Council mail
- (d) Returned mail
- (e) Parcels
- (f) Magazines, circulars and advertising material.
- (g) Cash and cheques
- (h) Personal mail
- (i) Tenders
- U) Internal mail

(a) Urgent council mail:

- Give priority to **urgent council mail** over routine mail:
 1. Open mail (but not **Confidential** mail)
 2. Date stamp mail
 3. Distribution stamp mail
 4. Record in the ***Aurukun Mail Register***

5. If there are **cheques** in the mail, it is to be sent to Cairns Office via Internal mail for banking.
6. Deliver urgent council mail to the CEO for allocating distribution and file numbers. CEO returns to the Executive Assistant to distribute

(b) Confidential council mail:

- Do not open **confidential council mail**
 1. Date stamp the outside of envelope
 2. Record in the ***Aurukun Mail Register*** information on the outside of envelope
 3. If you open confidential in error, reseal it and attach a note, stating it was "Opened in error" and your signature
 4. Deliver confidential council mail to the CEO for allocating distribution and file numbers. CEO returns to the Executive Assistant to distribute

(c) Routine council mail:

1. Open mail
2. Date stamp mail
3. Distribution stamp mail
4. Record in the ***Aurukun Mail Register***
5. If there is **cash and cheques** in the mail, it is to be sent to Cairns via Internal mail for banking
6. Deliver routine council mail to the CEO for allocating distribution and file numbers. CEO returns to the Executive Assistant to distribute

(d) Returned mail:

- If returned mail appears to be **Human Resources:**
 1. Do not open envelope
 2. Date stamp envelope
 3. Record in the ***Aurukun Mail Register***
 4. Place in the Human Resources Manager office or placed in pigeon hole
 5. If opened in error, reseal it and attach a note, stating it was "Opened in error" and your signature

- Other returned council mail:
 1. Date stamp envelope
 2. Staple the envelope to the letter if it contains the return address.
 3. Record in the ***Aurukun Mail Register***.
 4. Place in relevant pigeon hole

(e) Parcels

1. Date stamp parcel
2. Open parcel (but not **Confidential** parcels)
3. Record in the ***Aurukun Mail Register***
4. Email the relevant work area that they have a parcel and where it is (with the Executive Assistant or in their pigeon hole, if it fits)

(f) Magazines, circulars and advertising material

- Deliver **magazines, circulars and advertising material** to the relevant work area or their pigeon hole for distribution (attach a *Distribution List - Appendix one* with names of those to see document if more than one);

(g) Cheques

Refer to instructions under (a) or (c)

(h) Personal mail:

- Do not open personal mail
- Do not record personal mail in the ***Aurukun Mail Register***
- If you open personal mail in error, reseal it and attach a note stating it was "**Opened in error**", as well as the date and your signature
- Place in relevant pigeon hole

(i) Tenders process:

1. All tenders envelopes should be marked "**Tender**" with the tender number when they arrive at council
2. The Tender Envelope ***should not be opened*** but rather date stamped and placed in the Tender box unopened.
3. If opened in error, the tender should be referred to the CEO for a decision

U) Internal mail:

- Date stamp envelope
- Open mail (but not if **Confidential**)
- Record in the ***Aurukun Mail Register***
- Place in relevant pigeon hole or hand deliver to CEO and Directors

Outgoing Internal Mail

All outgoing Aurukun Administration Office Mail and Cairns branch office mail should be correctly placed in the marked trays on the Executive Assistants desk.

Administration Manager/Receptionist or delegate is responsible for collecting outgoing mail from the Executive Assistants desk.

Action required for internal mail

- Items must be registered in the ***Aurukun Mail Register*** and placed the red internal bag
- Bag is then required to be delivered to the airport and any bags from the Cairns office collected from the airport.
- The sending of the bag is on an "as needed" basis

Outgoing External Mail

- All outward external mail must be sent on a daily basis and be recorded in the ***Aurukun Mail Register***.
- Any outgoing mail marked 'urgent,' 'confidential', 'registered' or express must catalogued to that effect in the ***Aurukun Mail Register*** and be sent via that specified mailing system.
- Mail to local residents from council should remain at the post office for the allotted time and every attempt made to contact the recipient. If the recipient is known to be in the community, **do not** mark 'Return to Sender' as per Australia Post policy.

4. RELATED DOCUMENTATION

- Aurukun Mail Register (H:\04 Corporate Services\Reception
- Cash and Cheque per post register

APPENDIX ONE:

CIRCULATION LIST Please read/review attached materials and forward to next person on the list.			
NAME	WORK AREA	DATE REVIEWED	COMMENT