Bayside Council
Serving Our Community

MEETING NOTICE

A meeting of the
Risk & Audit Committee
will be held in the Pindari Room, Rockdale Town Hall
Level 1, 448 Princes Highway, Rockdale
on **Thursday 23 August 2018** at **6:30 pm**

AGENDA

1   ACKNOWLEDGEMENT OF TRADITIONAL OWNERS

Bayside Council respects the traditional custodians of the land, and elders past and present, on which this meeting takes place, and acknowledges the Gadigal and Bidjigal Clans of the Eora Nation.

2   APOLOGIES

3   DISCLOSURES OF INTEREST

4   MINUTES OF PREVIOUS MEETINGS

5   REPORTS

6   GENERAL BUSINESS

7   NEXT MEETING

Meredith Wallace
General Manager

Risk & Audit Committee   23/08/2018

Item No	4.1
Subject	**Minutes of the Risk & Audit Committee Meeting - 24 May 2018**
Report by	Lauren Thomas, Governance Officer Fausto Sut, Manager Governance and Risk
File	SC18/37

Officer Recommendation

That the Minutes of the Risk & Audit Committee meeting held on 24 May 2018 be confirmed as a true record of proceedings.

Present

Jennifer Whitten, Independent External Member
Catriona Barry, Independent External Member
Lewis Cook, Independent External Member
Barry Munns, Independent External Member
Councillor Liz Barlow

Also present

Meredith Wallace, General Manager
David Nolan, Director Financial Audit Services - Audit Office of NSW
Fausto Sut, Acting Director City Performance
John Hughes, Coordinator Risk Management
Cate Trivers, Project Manager, Operation Ricochet
Matthew Walker, Manager Finance
Bobbi Mayne, Manager Procurement
Councillor Dorothy Rapisardi
Gina Nobrega, Governance Officer

The Chairperson opened the meeting in the 2nd Floor Conference Room, Bayside Administration Building, Rockdale at 6.30pm.

1   Acknowledgement of Traditional Owners

The Chairperson affirmed that Bayside Council respects the traditional custodians of the land, and elders past and present, on which this meeting takes place, and acknowledges the Gadigal and Bidjigal Clans of the Eora Nation.

2   Apologies

The following apologies were received:

Councillor Scott Morrissey
John Walsh, Internal Auditor

3   Disclosures of Interest

There were no disclosures of interest.

4   Minutes of Previous Meetings

4.1   Minutes of the Risk & Audit Committee Meeting - 22 February 2018

Committee recommendation

1   That the Minutes of the Risk & Audit Committee meeting held on 22 February 2018 be confirmed as a true record of proceedings.

2   That future Minutes of the Risk & Audit Committee meetings be circulated to External Independent Members within two weeks following the meeting, along with Minutes being distributed with agenda for the next scheduled meeting.

3   That outstanding tasks from the previous Minutes Actions List of 22 February 2018 be updated:

Item	Action	Responsible Officer
5.3	A summary email to Committee members regarding insurance risk from bike-share incidents.	Acting Director City Performance
5.5	The speech made by Chair at the General Manager's Briefing session be sent to Council for distribution to Councillors.	Jennifer Whitten, External Independent Member
5.7	Future reports on the progress of Project Ricochet include an updated list of priorities, findings, actions and risks.	Manager Governance & Risk
6.3	An ICAC representative be invited to a separate meeting of the Risk & Audit Committee before the next scheduled meeting.	Manager Governance & Risk
6.4	Committee members be invited to the Council meeting of which the Draft 2016/17 Financial Statements are presented.	Manager Governance & Risk

5   Reports

5.1   Progress on Outstanding Recommendations in Issues List

Committee recommendation

1   That the Committee notes the progresss made on the Issue List's outstanding recommendations.

2   That the Committee continues to recieve updated reports at its meetings.

3   That Items from the Issues List that are not completed to be made 'unclosed' on the Issues List.

4   That the missing date in Management's Comments for Item 27 - Parks and Gardens Audit, within the Issues List, be included.

5.2   Insurance Claims Performance Overview

Committee recommendation

That the report be received and noted.

5.3   Strategic Risk Register Update and Review

Committee recommendation

1   That the Risk & Audit Committee receives and notes the report.

2   That the ICAC Audit recommendations, Fraud Control Risks and IT Security be added to the Strategic Risk Register.

5.4   Project Ricochet Update

Committee recommendation

1   That the Risk & Audit Committee notes the progress on implementation of the ICAC recommendations (refer Attachments 1 and 2).

2   That the Risk & Audit Committee notes Council's progress update on management's agreed actions in response to the NSW Audit Office interim management letter (August 17) recommendations (refer Attachments 3,4 and 5).

3   That the Risk & Audit Committee notes the progress on the Business Process, Controls Framework, business process and internal control mapping (refer Attachment 6).

4   That members be provided with a copy of the TechOne Road map at the next scheduled meeting of the Risk & Audit Committee.

5.5   Proposed 4 Year Internal Audit Plan (2018/22)

Committee recommendation

1   That the proposed 4 Year Audit Plan (2018/22) be received and noted.

2   That the Committee defers endorsement of the 4 Year Audit Plan (2018/22) pending discussions with the Internal Auditor.

3   That the Committee holds a separate meeting with the new Internal Auditor to review the 4 Year Audit Plan (2018/22) prior to the next scheduled meeting of the Risk & Audit Committee.

4   That the Internal Auditor aligns the draft Internal Audit Program to risks within the Strategic Risk and Operational Risk Registers.

5.6   Audit Program 2017/18 - Status of Health Checks

Committee recommendation

1   That the progress report on the four health checks be received and noted.

2   That the Manager Procurement provides a copy of the Procurement Guide to all committee members.

6   General Business

6.1   Financial Statements 2016/17

Committee recommendation

1   That an extra-ordinary meeting of the Committee be held, if necessary, to consider the draft Financial Statements for 2016/17.

2   That the Committee be provided with a copy of the key assumptions underlying the Financial Statements audit.

7   Next Meeting

That the next meeting be held in the Pindari Room, Rockdale Town Hall at 6.30pm on Thursday, 23 August 2018.

The Chairperson closed the meeting at 9.05pm.

Attachments

Nil

Risk & Audit Committee   23/08/2018

Item No	5.1
Subject	**Operation Ricco - The ICAC Perspective**
Report by	Fausto Sut, Manager Governance and Risk
File	F12/156

Summary

Dr Andrew Howe, Senior Corruption Prevention Officer, ICAC will discuss the investigation, the findings and focus on the corruption prevention recommendations in the report.

Officer Recommendation

That the presentation on Operation Ricco be received and noted.

Background

A major focus of the Committee is the oversight of the implementation of the ICAC recommendations within the report on Operation Ricco. The Committee has asked to hear from the ICAC on the report, if possible.

Dr Andrew Howe, who led the corruption prevention analysis on the investigation will present at the meeting and answer questions.

Attachments

Nil

Risk & Audit Committee   23/08/2018

Item No	5.2
Subject	**Update on 2016-17 Financial Reports**
Report by	Matthew Walker, Manager Finance
File	F09/744

Summary

The Manager Finance provides an update on the progress on the draft 2016-17 Financial Reports.

Officer Recommendation

That the Risk & Audit Committee receive and note the update on the progress on the draft 2016-17 Financial Reports.

Background

Council has issued the draft 2016-17 Financial Reports for Audit and the audit process has commenced.

Council has received approval from the Office of Local Government for an extension on the lodgement of the audited 2016-17 Financial Reports until 30 September 2018. To meet this lodgement date, Council will need to hold extraordinary meetings of the Risk & Audit Committee and Council during September 2018.

It is also noted that this timeframe is likely to impact on the timing of completion of the 2017-18 financial reports and associated audit. To mitigate this, officers are currently in the process of completing draft financial reports for 2017-18 in conjunction with supporting the audit for 2016-17.

Attachments

Nil

Bayside Council
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Risk & Audit Committee   23/08/2018

Item No   5.3

Subject   **Strategic Risk Register Review**

Report by   John Hughes, Coordinator Risk Management

File   F13/418

Summary

The Revised Risk Management Work Program requires quarterly progress reporting on the Strategic Risk Register to the Executive and Risk & Audit Committees. Reporting to the Risk & Audit Committee is to incorporate the ten highest-ranked risks in terms of their *residual risk* rating. Council's current strategic risk profile has remained generally unchanged but with work on mitigation strategies continuing as planned.

It should be noted that Council's greatest risk exposure is managing civic events i.e. the risks associated with large crowds of people in public spaces within the LGA. Council has been recognised for its "best practice" in crowd safety for events notwithstanding the increasing safety requirements being imposed on such events. The consequence maintains the risk as "Very High".

Officer Recommendation

That the Risk & Audit Committee receives and notes the report.

Background

Annexed to this report is the Strategic Risk Register which has been reviewed and updated with comments as available from Directors and relevant Managers on progress with implementation of controls since the last report to the Risk & Audit Committee in May 2018.

In this report and the Annexure, items in red type represent updates since the previous report.

Comments on Top Seventeen Strategic Risks

The table below provides a summary of the 16 highest residual-risk-level Strategic Risks in Council's Risk Register, being "Medium" or above. Those risks are detailed in the Annexure to this report, plus one further risk which has been reduced to a "Low" residual risk rating during the current quarter. The summary comments are not intended to be exhaustive in nature but rather to reflect the current status and/or any major changes in status since the previous report.

Risk ID / Rating	Risk Description	Summary Comments
EN_17_59 Very High	Council may lack the ability to manage emergent risks associated with large crowds of people in public spaces within the LGA.	All controls have been implemented and are monitored with each event. A Risk Management Plan is tailored to fit the requirements of each major event in the community. Recent events (ANZAC Day Dawn Service and March) were successful and without serious incident. Council has been recognised with Good Practice Award for NYE Event. The trend with each event each year is that security requirements and measures increase with corresponding increases in resources loads and costs. **Crowded Places Strategy:** Council has examined 3 key sites using recognised Australian Nation Security Strategy Self-Assessment tool: -Mascot Station Precinct -King Street Mall -Brighton Le Sands Each site scored below threshold for reporting to NSW Police for action. Council will implement measures to deter the threat of hostile vehicle attacks in each of these locations in the 18/19 financial year. Residual rating unchanged.
EN_17_03 High	The inability of the organisation to deliver, and embrace new integrated technology platforms and business applications.	On target for implementation by due date of 31/12/18. Refinements of local server environments progressing satisfactorily. Redundant communication links between major locations being established. Director City Performance August 2018: Delivery of Integrated Applications Environment remains on track for target completion date. Residual rating unchanged but with continuing improvement.

Risk ID / Rating	Risk Description	Summary Comments
EN_17_42 High	Failure of Infrastructure * a major unit of infrastructure may fail unexpectedly and / or catastrophically.	This complex risk is being monitored and requires the blending of information from Long Term Financial Planning, Strategic Asset Management systems and budget linkages. Solutions will require strategies for alternative funding options in the event of catastrophic infrastructure failures. Coordinator Risk Management has noted for follow-up and reporting in greater depth over the next quarter. Director City Performance August 2018: We have delivered an initial Asset Management Strategy and Long Term Financial Plan which is expected to be adopted by Council as part of the overall resourcing strategy in August 2018. It is recognised that these plans will require continuous development to reach a higher level of maturity. This will be complemented by the TechnologyOne Post-Implementation Review that is currently being undertaken and which is expected to provide recommendations and a roadmap for the integration of our Asset Management Systems with our Financial Management Systems. In addition, City Futures is leading the initiation of a Strategic Asset Management Committee which will comprise Key Asset Management stakeholders and Finance representatives that are focussed on improving Council's overall approach towards asset management. Residual rating unchanged.
EN_17_09 Medium	Failure to deliver one or more major Transition Projects within Time / Cost / Scope / Quality expectations.	Closely monitored by Executive Management with weekly update reporting on the position of each project. Residual rating reduced to Medium.
EN_17_10 Medium	Failure to identify and respond to critical emerging social issues - for example "affordable housing" within LGA.	Consultant engaged to develop affordable housing/social housing policy to incorporate into LEP/DCP LEP/DCP draft project plan has been established with an anticipated completion date of Dec 2019. Inaugural VPA with affordable housing provision currently being negotiated with a proponent. Residual rating unchanged.
EN_17_23 Medium	Airport does not pay or pays significantly less than assessable rate equivalent payments to Council.	Ongoing. Continuing to levy rate equivalence. Director City Performance August 2018: Proposal received from SACL and Counter-Proposal submitted. It is hoped an agreement is able to be finalised by the end of September 2018. Residual rating unchanged.
EN_17_24 Medium	Construction of F6 in LGA.	RMS has contacted Council to advise the possibility of clearways of Rocky Point Road and Grand Parade, potentially removing hundreds of daytime parking spaces along these thoroughfares. Council has responded with a Mayoral Minute and maintains strong lobbying and representation in relation to these measures. Managed through ongoing engagement with external agencies & community, and providing relevant advice to Council. Residual rating unchanged.
EN_17_54 Medium	Environmental risks.	Ongoing program of controls and monitoring. Residual rating unchanged.

Risk ID / Rating	Risk Description	Summary Comments
EN_17_11 **Medium**	Failure to manage Assets sustainably for the future requirements of the community.	Implementation of controls under way and monitored linked to EN_17_42. Noted for in-depth follow-up next quarter. Residual rating unchanged.
EN_17_58 **Medium**	Customer Service Performance may fail to meet community expectations.	Recruitment completed for Manager Customer Experience. The MCE is currently preparing a number of business cases for initiatives as part of the overall project which will be put individually to the Executive in the coming months. Residual rating unchanged.
EN_17_12 **Medium**	Inability to effectively manage and control urban development and growth in the LGA.	Continuous monitoring. LEP/DCP draft project plan has been established with an anticipated completion date of Dec 2019. Residual rating unchanged.
EN_17_14 **Low**	Council may be bound in the short-term to unprofitable non-core airport business unit.	Council was not the successful tenderer for the contract to continue the services with SACL and is transitioning out of the Airport Business Unit which will be finalised on 30 September 2018 Residual rating changed to low
EN_17_30 **Medium**	West Connex development results in significant increase in traffic volumes within Bayside.	Continued response to Sydney Motorway Corporation and RMS Residual rating unchanged.
EN_17_48 **Medium**	Adverse or unplanned impacts of population growth within the LGA.	Controls continuously monitored and activity maintained to lobby and advocate on behalf of Council. Residual rating unchanged.
EN_17_46 **Medium**	Change fatigue.	Controls implemented and continuously monitored. Health and wellbeing calendar provides education, information and activities to increase resilience, motivation and morale of staff across the organisation. A wellness room has been opened at the Rockdale Administration building. Manager People & Organisational Culture August 2018: Health & Wellness Expo will be held for staff over 2 days in October 2018 Council is also rolling out its new Health & Safety Management system which includes process and procedures around managing health in the workplace - for example, training managers and staff on drug and alcohol misuse and the workplace / personal consequences and warning signs, aids available for treatment and recovery and guidance towards seeking treatment. Training in the new system is happening in August and September 2018. Residual rating unchanged.

Risk ID / Rating	Risk Description	Summary Comments
EN_18_01 Medium	IT security threats may not be adequately managed	This risk has been included from the operational risk for Executive and RAC monitoring, following the May 2018 RAC meeting. Controls which have been established and are operating effectively include: • ITIL Framework adopted • appropriate funding, resourcing and capacity to deliver • Disaster Recovery testing • Changes to infrastructure occur through Change Advisory Board with vendor support • Partnering with industry leading security vendors and conducting regular reviews and audits • Strong Corporate Governance through IMT Steering Committee, regular project status and budget reporting • Staff training with regular 3rd party reviews • Complete and clear assignment of accountability in IMT staff structure. Controls which are being established and are to be implemented: • IT Policy framework (drafted, awaiting formal approval) • IT Security Policy (drafted, awaiting formal approval).
EN_18_02 Medium	Council may fail to fully and effectively implement the recommendations of the ICAC and the NSW Audit Office arising from Project Ricco and the audit of the former City of Botany Bay generally and with particular reference to fraud and corruption prevention and detection controls.	Regular reporting is provided to the Risk and Audit Committee and Council on progress with this matter which is also provided to the OLG & ICAC in addition to regular reporting to the Minister for Local Government. Remedial controls are the responsibility of Project Ricochet and that work is reviewed by the external audit team from the NSW Audit Office

Attachments

Bayside Strategic Risks Register 10-08-18 ⇩

Bayside Council   Strategic Risk Register   at 10 Aug 2018

Risk Number	Description	Consequences	Risk Category	Likelihood	Impact	Inherent Risk Rating	Treatments	Risk Owner	Mitigation Assigned to	Likelihood (Post Mitigation)	Impact (Post Mitigation)	Residual Risk Rating	Due Date	Status	Date Closed	Comments
EN_17_59	Council may lack the ability to manage emergent risks associated with large crowds of people in public spaces within the LGA	* multiple casualties and/or loss of life * impediment caused to legitimate movements of emergency services vehicles and personnel * adverse impact on community wellbeing	Service	Likely	Extreme	Extreme	* deployment of temporary barricades / heavy vehicles * deployment of additional security personnel * collaboration with Police and other Government agencies * collaboration with proprietors of properties adjoining public spaces concerning additional security measures during events * Monitor changing security requirements and reconsider risk appetite position if necessary	Executive	Head of Communications and Events Manager Recreation and Community Services	Unlikely	Extreme	Very High	30/06/2018 ongoing review	Implemented - under Executive Review		All controls implemented and being monitored. A detailed Risk Management Plan is prepared for each event. **GM: 13/02/2018:** Positive feedback received from Police Local Area Command concerning NYE Fireworks being the best organised in the area from a safety and risk management perspective **RESIDUAL RISK REDUCED FROM EXTREME** **Comment - May 2018** All controls have been implemented and are monitored with each event. A Risk Management Plan is tailored to fit the requirements of each major event in the community. Recent events (ANZAC Day Dawn Service and March) were successful and without serious incident. Council has been recognised with Good Practice Award for NYE Event. The trend with each event each year is that security requirements and measures increase with corresponding increases in resources loads and costs. **Crowded Places Strategy - Implementation progress:** Council has examined 3 key sites using recognised Australian Nation Security Strategy Self-Assessment tool: -Mascot Station Precinct , -King Street Mall , -Brighton Le Sands Each site scored below threshold for reporting to NSW Police for action. Council will implement measures to deter the threat of hostile vehicle attacks in each of these locations in the 18/19 financial year. **Residual rating unchanged.** **Director City Life Aug 2018:** Some applications and proposals from community groups are for events in these high risk locations public places & their risk management planning is often not adequate. This is creating challenges for officers in assisting event organisers prepare their applications, risk management plans, obtain insurance and other event facilities such as rubbish removal, road closure etc. Consideration is currently being given to more bollard installation in the Rockdale area but at this stage the development of a business case has not commenced.
EN_17_03	The inability of the organisation to deliver, and embrace new integrated technology platforms and business applications	* low(er) productivity / loss of productivity; * low(er) service levels to the community; * delayed / impeded harmonisation of business processes between merging entities; * higher costs of service delivery. Manual task being performed Under utilisation of system Efficiencies of system not maximise nor staff changing process to match technology improvements.	ICT	Possible	Major	Very High	* Ensure project is resourced with a dedicated highly skilled project lead and resources; * Recruit and maintain dedicated risk management for strategic projects; * Implement and maintain regular reporting to Executive (weekly) of strategic project status	Director City Performance	Director City Performance	Possible	Moderate	High	31/12/2017 31/12/2018	In Progress		DCP 31/1/18 * Initial harmonisation of Integrated Platform completed * Refinement from RCC data centre to GovDC now in progress which is anticipated to be completed during 4th quarter cal 2018 Comment - May 2018 On target for implementation by due date of 31/12/18. Refinements of local server environments progressing satisfactorily. Redundant communication links between major locations being established. Residual rating unchanged with improving outlook Director City Performance August 2018: Delivery of Integrated Applications Environment by target completion date remains on track.
EN_17_42	Failure of Infrastructure * a major unit of infrastructure may fail unexpectedly and / or catastrophically	* major disruptions to traffic and transportation * significant economic losses to local businesses and residents * significant inconvenience * potential injury and loss of life to staff and members of the public	S.A.M.	Rare	Extreme	High	* Implement SAM on Technology One System; * Implement enhanced asset management/ budget management and reporting processes to improve strategic asset management performance * Active participation in development of LEMP * LEMO * Reliance on State and / or Federal Emergency Disaster Relief Funding * lobbying for State and Commonwealth funding for new and upgraded infrastructure	Director City Performance Director City Presentation Director City Futures	Manager City Infrastructure	Rare	Extreme	High	31/12/2018	In Progress		DCP 31/1/18 Project Formation stage for development of SAM solution using Tech1 system. Will occur in conjunction with Long Term Financial Plan Project which has been commissioned to develop 10 year Enterprise budget for Council linked to SAM in longer term Comment - May 2018 This complex risk is being monitored and requires the blending of information from Long Term Financial Planning, Strategic Asset Management systems and budget linkages. Solutions will require strategies for alternative funding options in the event of catastrophic infrastructure failures. Coordinator Risk Management has noted for follow-up and reporting in greater depth over the next quarter. Residual rating unchanged **Director City Performance August 2018: We have delivered an initial Asset Management Strategy and Long Term Financial Plan which is expected to be adopted by Council as part of the overall resourcing strategy in August 2018. It is recognised that these plans will require continuous development to reach a higher level of maturity. This will be complemented by the TechnologyOne Post-Implementation Review that is currently being undertaken and which is expected to provide recommendations and a roadmap for the integration of our Asset Management Systems with our Financial Management Systems.** **In addition, City Futures is leading the initiation of a Strategic Asset Management Committee which will comprise Key Asset Management stakeholders and Finance representatives that are focussed on improving Council's overall approach towards asset management.**
EN_17_09	Failure to deliver one or more major Transition Projects within Time / Cost / Scope / Quality expectations	* Loss of credibility with Community, Councillors and other key Stakeholders; * Budget variances; * Delays in providing expected services / service levels; * Unmet community expectations	Transition PMO	Likely	Major	Very High	* Regular reporting regime - Executive - Council - OLG * Regular Resource reassessment * Regular risk assessments	General Manager	Executive	Possible	Low	Medium	30/06/2018 31/12/2018	In Progress		MES: May 2018 Weekly updates on financial position on all Transition Projects and funding are provided to the Executive Committee. All Transition funds are to be allocated to appropriate Projects by 31/12/2018. Reporting to State Government will not be finalised until all funds are expended, and a final acquittal of transition funding has been provided to OLG. Residual rating reduced to Medium.
EN_17_10	Failure to identify and respond to critical emerging social issues - for example "affordable housing" within LGA	* Loss of credibility with Community, Councillors and other key Stakeholders; * Unmet community expectations * Loss of key worker housing in LGA e.g. nurses, emergency services workers	Strategic	Likely	Major	Very High	* Create harmonised / new LEP / DCP for LGA * Represent Council's position with strong lobbying and representation with State Planning Agencies * Review of planning controls as harmonisation of LEP/DCP * Review capacity to deliver regional plan * Improve community engagement	Director City Futures	Director City Futures	Unlikely	Low	Medium	30/06/2018 30/06/2019	In Progress		31/1/18 DCF * Consultant Lyndsay Taylor to develop affordable housing/social housing policy to incorporate into LEP/DCP DCF 4/5/2018: LEP/DCP draft project plan has been established with an anticipated completion date of Dec 2019. Inaugural VPA with affordable housing provision currently being negotiated with a proponent. Comment - May 2018 Status unchanged

Bayside Council — Strategic Risk Register — at 10 Aug 2018

Risk Number	Description	Consequences	Risk Category	Likelihood	Impact	Inherent Risk Rating	Treatments	Risk Owner	Mitigation Assigned to	Likelihood (Post Mitigation)	Impact (Post Mitigation)	Residual Risk Rating	Due Date	Status	Date Closed	Comments
EN_17_23	Airport does not pay or pays significantly less than assessable rate equivalent payments to Council	* Inadequate infrastructure for community needs; * Inadequate budget to sustainably maintain infrastructure requirements for community requirements * Inability to meet demand for required services	Strategic	Possible	Major	Very High	* Finalise negotiations to secure rate equivalence payments * engage expert advisers to assist in negotiations * maintain public focus on issues	Director City Performance	General Manager	Possible	Low	Medium	30/06/2018 ongoing review	In Progress		31/1/2018 DCP * MOU being drafted based on negotiated agreed terms with SACL by Council's legal representatives for final consideration; * Instalment Notices continue to be sent Comment - May 2018 Status unchanged **Director City Performance August 2018: Proposal received from SACL and Counter-Proposal submitted. It is hoped an agreement is able to be finalised by the end of September 2018.**
EN_17_24	Construction of F6 in LGA	* Construction of F6 results in Council losing significant amounts of open space and sporting facilities * Potentially adverse location(s) of ventilation and exhaust stacks within LGA * **Staging of works lead to increased traffic congestion within LGA esp. in vicinity of President Avenue**	Strategic	Possible	Major	Very High	* Maintain lobbying of Council requirements * Increase public attention to issues * Solicit support of local MPs	Director City Futures	Director City Futures	Possible	Low	Medium	30/06/2018	In Progress		31/1/2018 DCF F6 Stage 1 announced - mostly underground through LGA subject to Treasury lifting reservation over land corridor. Possibility that Transport NSW may pick up reservation for future use as light or heavy rail corridor. 4/5/2018 DCF: Staff continue to engage with RMS F6 project team and will continue to advise Council accordingly Have also invited impacted community groups to engage with Council
EN_17_54	Environmental risks	* adverse changes to environment * reputational harm to Council * penalties or fines to Council	Strategic	Possible	Major	Very High	* Environmental checklist on projects * Reviewing SOE effects	Director City Futures	Manager Strategic Planning	Possible	Low	Medium	31/12/2018 ongoing	In Progress		Bushcare Landcare Wolli Creek Catchment Program Member of * Cooks River Alliance * Georges River Alliance * Sydney Coastal Councils Group Protection of Green & Golden Frog Air quality monitoring feeding into ANSTO research Foreshore erosion work 4/5/2018 DCF: Programs continue to be managed. Recent representations on foreshore erosion have been made to the Minister. Establishment of Inaugural Bayside Water Management Strategy under way.
EN_17_11	Failure to manage Assets sustainably for the future requirements of the community	* Inadequate infrastructure for community needs; * Inadequate budget to sustainably maintain infrastructure requirements for community requirements * Inadequate identification of asset holdings and condition requirements	S.A.M.	Possible	Major	Very High	* Undertake Audit of Community buildings and structures; * Implement SAM on Technology One System * Realistic budget assessment and bids * **Very large budgetary allocations for asset renewals will be required in addition to treatment mechanisms above**	Director City Life Director City Performance	Executive	Unlikely	Minor	Medium	31/12/2018	In Progress		31/1/2018 A/DCL Community Facilities and Services Review Project Business Case going to Executive in February 2018 MSP The Asset Management Committee and sub-committees will become operational from February 2018 with the objective to rapidly improve governance, decision making, planning, financial management, workflows, reporting and clarity of roles and responsibilities in relation to strategic and operational asset management by Council. Comment - May 2018 Implementation of controls under way and monitored linked to EN_17_42. Noted for in-depth follow-up next quarter. Residual rating unchanged.
EN_17_58	Customer Service Performance may fail to meet community expectations	* The community may receive poor quality service outcomes compared to expectations * Council may suffer reputational damage * Productivity may decline * Staff morale may decline * Council may suffer adverse media attention	Service	Likely	Moderate	Very High	* Leadership performance agreements * Review Compliance * Council Communication Strategy * Develop Customer Service Strategy * Team meetings * Develop training initiatives * Monitoring enhancements	Director City Life	Manager Customer Experience	Unlikely	Moderate	Medium	30/06/2019	In Progress	Strategic for one year then review for transfer to operational	Recruitment completed for Manager Customer Experience Customer Experience Project has been commissioned with $100k in budget and is expected to run for approximately 1 year's duration from the date of appointment of the New Manager Customer Experience who will lead the project RESIDUAL RISK REDUCED FROM MEDIUM The MCE is currently preparing a number of business cases for initiatives as part of the overall project which will be put individually to the Executive in the coming months.
EN_17_12	Inability to effectively manage and control urban development and growth in the LGA	* Council loses influence and control over development and growth within LGA * **loss of industrial land leading to enduring loss of employment within LGA** * **inappropriate encroachments of high density urban development on dangerous goods corridor through LGA**	Strategic	Possible	Moderate	High	* Create harmonised / new LEP / DCP for LGA * Represent Council's position with strong lobbying and representation with State Planning Agencies * Consult on Community Strategic Plan with State Planning Agencies * Alignment of District Plans with Council	Director City Futures	Director City Futures	Unlikely	Low	Medium	31/12/2019	In Progress		31/12/2019 DCF Business case being submitted to Executive for Gazetted LEP to be finalised by 12/2019 4/5/2018 DCF: Programs continue to be managed. Recent representations on foreshore erosion have been made to the Minister. Establishment of Inaugural Bayside Water Management Strategy under way.
EN_17_14	Council may be bound in the short-term to unprofitable non-core airport business unit	* Opportunity cost of losses incurred in real terms of services foregone * Impact on operational priorities if not properly exited	Financial	Possible	Moderate	High	* Develop, document and implement Airport business unit risk management and governance policies and procedures * Develop Airport business unit exit Strategy * Improve budgetary and reserve provisions	Manager Airport Business Unit	Director City Presentation	Rare	Low	Low	30/06/2021	In Progress		Council was not the successful tenderer for the contract to continue the services with SACL and is transitioning out of the Airport Business Unit which will be finalised on 30 September 2018 Residual rating changed to low
EN_17_30	West Connex development results in significant increase in traffic volumes within Bayside	* increased deterioration of road assets; * traffic congestion; * impact on town centres and residential amenity.	Strategic	Possible	Moderate	High	Represent Council's interests with State government and other stakeholders	Director City Futures	Director City Futures	Possible	Low	Medium	30/06/2018 ongoing review	In Progress		Ongoing 4/5/2018 DCF: Continued response to Sydney Motorway Corporation and RMS
EN_17_48	Adverse or unplanned impacts of population growth within the LGA	* infrastructure unable to cope * Council services inadequate * poor customer service levels * Council suffers reputational damage * poor staff morale	Strategic	Possible	Moderate	High	* monitoring of census data and other population trends * maintain close links to relevant external agencies * maintain flexible workforce and structure	Director City Futures	Manager Strategic Planning	Possible	Minor	Medium	31/12/2017 ongoing	In Progress		31/1/2018 DCF Ongoing linked to development of Community Strategic Plan, Community Services Plan, S94 Plan Review, and development of new LEP for LGA sch for completion in Dec 2019 then with NSW Gov. Above all to be linked to Asset Management Strategy so that projects can be assessed and prioritised based upon community needs and projected growth Comment - May 2018 Maintaining continuous advocacy and lobbying on behalf of Council

Item 5.3 – Attachment 1

Bayside Council   Strategic Risk Register   at 10 Aug 2018

Risk Number	Description	Consequences	Risk Category	Likelihood	Impact	Inherent Risk Rating	Treatments	Risk Owner	Mitigation Assigned to	Likelihood (Post Mitigation)	Impact (Post Mitigation)	Residual Risk Rating	Due Date	Status	Date Closed	Comments
EN_17_46	Change fatigue	* loss of productivity * low staff morale * lack of progress with embedding new organisation culture and values * lack of progress with embedding new systems, processes, customer service outcomes * failure to fully integrate workforce * where change fatigue is highly evident, it means change is being managed in a linear, transactional style that generally ignores the emotional impact change has on the culture, systems and people within the workplace. People then become disillusioned, uninspired and resistant to change rather than embracing change as a normal part of the workplace.	Staff	Possible	Minor	Medium	* Integration of Bayside business systems * Communicate about environment of continuous change as the new norm * Communicate to staff about changes about to occur and about changes occurring across the organisation to reinforce that change is the new norm * Ensure change communications and consultation with staff is carried out in a manner which eliminates pockets of isolation which can create significant 'outbreaks' of change fatigue and/or resistance * Ensure change management focuses upon positive transitional organisational, systems, cultural and personal goals for staff, customers and other stakeholders so that change is a process to be embraced instead of endured	Manager People and Organisational Culture	Manager People and Organisational Culture	Possible	Minor	Medium	ongoing	In Progress		CRM MPOC 07/02/2018 Closure recommended and transfer to Operational Risk Register EXEC 13/02/2018 resolved to retain this risk in the Strategic Risk Register for the present time MPOC MAY 2018 health and wellbeing calendar provides education, information and activities to increase resilience, motivation and morale of staff across the organisation. A wellness room has been opened at the Rockdale Administration building **Manager People & Organisational Culture August 2018:** Health & Wellness Expo will be held for staff over 2 days in October 2018 Council is also rolling out its new Health & Safety Management system which includes process and procedures around managing health in the workplace - for example, training managers and staff on drug and alcohol misuse and the workplace / personal consequences and warning signs, aids available for treatment and recovery and guidance towards seeking treatment. Training in the new system is happening in August and September 2018.
EN_18_01	IT security threats may not be adequately managed	Loss of business systems Loss of data Breach of privacy Reputational damage Prosecution Cyber attack / Ransom Loss of Productivity Economic Loss	ICT	Rare	Extreme	High	* IT Policy framework, and ITIL Framework adoption; * appropriate funding, resourcing and capacity to deliver; * staff training with regular 3rd party reviews; * DR testing; * Partnering with industry leading security vendors and conducting regular reviews and audits; * Changes to infrastructure occur through Change Advisory Board with vendor support; * Strong Corporate Governance through IMT Steering Committee, regular project status and budget reporting; * Complete and clear assignment of accountability in IMT staff structure;	Director City Performance	Manager IT	Rare	Moderate	Medium	ongoing review	In Progress		This risk has been included from the operational risk for Executive and RAC monitoring, following the May 2018 RAC meeting. **Controls which have been established and are operating effectively include:** • ITIL Framework adopted • appropriate funding, resourcing and capacity to deliver • Disaster Recovery testing • Changes to infrastructure occur through Change Advisory Board with vendor support • Partnering with industry leading security vendors and conducting regular reviews and audits • Strong Corporate Governance through IMT Steering Committee, regular project status and budget reporting • Staff training with regular 3rd party reviews • Complete and clear assignment of accountability in IMT staff structure. **Controls which are being established and are to be implemented:** • IT Policy framework (drafted, awaiting formal approval) • IT Security Policy (drafted, awaiting formal approval).
EN_18_02	Council may fail to fully and effectively implement the recommendations of the ICAC and the NSW Audit Office arising from Project Ricco and the audit of the former City of Botany Bay generally and with particular reference to fraud and corruption prevention and detection controls.	*Significant reputational damage; *Distraction from operational matters and service delivery *Reputational damage *Economic losses *loss of staff morale	Governance	Unlikely	Extreme	Very High	* Project Control Group (PCG) established * Clear Project Plan to address issues * Implement communications strategy * Effective liaison with OLG and ICAC * Regular reports to Executive, Audit Committee and Council	Director City Performance	Manager Governance and Risk	Rare	Moderate	Medium	30/06/2019	In Progress		Regular reporting is provided to the Risk and Audit Committee and Council on progress with this matter which is also provided to the OLG & ICAC in addition to regular reporting to the Minister for Local Government. Remedial controls are the responsibility of Project Ricochet and that work is reviewed by the external audit team from the NSW Audit Office

Item 5.3 – Attachment 1   16

Risk & Audit Committee   **23/08/2018**

Item No   5.4

Subject   **Operational Risk Register Review**

Report by   John Hughes, Coordinator Risk Management

File   F13/418

Summary

Council has acquired the Enterprise Risk Management System (ERMS) module as part of the *PULSE* system offering. This module integrates with the Corporate Planning and Reporting module which is to also be used by Council as part of meeting our Integrated Planning and Reporting (IP&R) requirements.

This report provides an update on the development of the draft Operational Risk and Controls Registers prepared based on work carried forward from the former Rockdale City Council and further work done post-merger.

The report will also provide a summary of the remaining work to be carried out to commission the ERMS.

Officer Recommendation

That the report be received and noted.

Background

Key steps remaining to be completed from the 2017-2018 Risk Management Work Program include:

- The completion of Risk Analysis for key business services.
- Completion of risk action plans for key business services.
- Implementation of an ERMS and regular risk reporting for key business services.

A preparatory step for the above processes was to establish a *Baseline Draft Operational Risk Register for Key Business Services*. It was specified in the work program that this was to be achieved by updating the former Rockdale Risk Register by documenting any risks identified during the Business Continuity Plan (BCP) Crisis Management process workaround reviews. In addition, risks have been inserted into the Operational Risks Register from the Strategic Risks Register review process.

A baseline Draft Operational Risk Register has been prepared which is to be reviewed in accordance with the attached workplan. This establishes a base for forming new business partnerships between the Risk Management team and the Key Business Service Units of Council as we roll out the PULSE ERMS.

The workplan for 2018/2019 divides this project into two main stages:

1   Implement Enterprise Risk Management Policy, Strategies, Procedures and Reporting at Key Business Unit level.

2   Facilitate continuing Risk Analysis for all Key Business Services, implementation of relevant Risk Action Plans and quarterly reporting of Operational Risk Register to Executive and Risk & Audit Committees in accordance with Risk Management Strategy & Policy.

These steps are further detailed in the attached workplan extract.

The Coordinator Risk Management will provide an overview presentation to the Committee of the Risks and Controls in the Draft Operational Risk Register at the meeting. Samples from the draft register are attached to this report.

Attachments

1   Risk Workplan extract
2   Operational Risk Register Sample
3   CONTROLS SAMPLE - DRAFT OPERATIONAL RISK REGISTER ⇩⇩⇩

No	Project / Activities / Tasks	Deliverable / Outcome	By When	Who	Progress
1	Implement Enterprise Risk Management Policy, Strategies, Procedures and Reporting at Key Business Unit level	• Implement PULSE ERMS	31/12/18	JH, RCOs	
		• Procedures documented	31/12/18	JH, RCOs	
		• Training delivered	31/12/18	JH, RCOs, MGRs	
		• Operational Risk Assessments Documented and Reported all Key Business Units	31/12/18	JH, RCOs, MGRs	
		• Facilitated quarterly autonomous Operational Risk Reporting continuously delivered Key Business Units	30/06/19	JH, RCOs, MGRs	
		• In conjunction with Manager Governance & Risk, provide timely exception reporting, advice on corrective actions & assistance where practicable to Key Business Units regarding their responsibilities as above	Each R&AC meeting	JH, FS , RCOs, MGRs	

No	Project / Activities / Tasks	Deliverable / Outcome	By When	Who	Progress
2	Facilitate continuing Risk Analysis for all Key Business Services, implementation of relevant Risk Action Plans and quarterly reporting of Operational Risk Register to Executive and Risk & Audit Committees in accordance with Risk Management Strategy & Policy	• Conduct Primary Review and Risk Assessment of Baseline Draft Operational Risk Register for Key Business Services with Managers and Load into PULSE	31/12/18	JH, RCOs, MGRs	
		• Review Corporate Plan Items and Conduct Risk Assessment thereof, cross referencing to Risks already in PULSE or Create New Risks	31/12/18	JH, RCOs, MGRs	
		• Facilitate conduct of Operational Risk Analysis, Assessment, Treatment and Reporting on quarterly basis by Key Business Service units	31/12/18 30/06/19	JH, RCOs, MGRs	
		• In conjunction with Manager Governance & Risk, provide timely exception reporting, advice on corrective actions & assistance where practicable to Key Business Units regarding their responsibilities as above	31/12/18 30/06/19	JH, FS , RCOs, MGRs	

Bayside Council   Abridged View   Draft Operational Risk Register

Risk Number	Risk Classification	Risk Category	Date Entered xx/xx/xxxx	Risk Description	Risk Details	Causes	Consequences	Location	Inherent Likelihood	Inherent Consequence	Mitigation Strategy	Risk Owner	Residual Likelihood	Residual Consequence
431	Operational	Legal & Regulatory	26/03/2018	Fail to report financial results and financial position in a timely and accurate manner to management and Council (monthly)	Fail to report financial results and financial position in a timely and accurate manner to management and Council (monthly)		* poor financial stewardship and budgetary control; * increased exposure to fraud and corruption; * increased exposure to waste and inefficiency; * lack of transparency and accountability;	Enterprise	Likely	Minor	* Implement monthly financial reporting * Improve internal communication on financial management information requirements	Manager Finance	Unlikely	Low
428	Operational	Legal & Regulatory	26/03/2018	There may be undiscovered fraudulent transactions of former CBB staff or officials	There may be undiscovered fraudulent transactions of former CBB staff or officials		* financial liability or further legal / forensic accounting / other expenses; * reputational damage from adverse publicity; * distraction of management and staff from core functions of Council in investigation and resolution of fraudulent transactions.	Enterprise	Possible	Moderate	* Implement process mapping and improvement project which includes implementation of ICAC and NSW Audit Office recommendations, improved governance and internal controls; * Conduct internal audits and health checks * Develop appropriate communication strategy	Manager Governance & Risk	Unlikely	Low
425	Operational	Emergent	26/03/2018	Lack of a Business Continuity Plan and Crisis Management Plan for Bayside Council	Lack of a Business Continuity Plan and Crisis Management Plan for Bayside Council		* confusion and poor response should an emergency occur; * failure to deliver expected service levels in the event of a crisis or major adverse event; * significant financial losses on insurance deductibles; * significant reputational damage.	Enterprise	Unlikely	Extreme	* Develop and implement Crisis Management Plan & BCP * finalise migration of IT environment and DRP to State Government Data Centre * Extract Executive commitment as Corporate priority * Regular reports to Executive on progress + resource adjustments * continue to align with Gov. DC Disaster Recovery protocols and develop local DRP around current communications solutions in place for new integrated systems platforms hosted on Gov. DC	Manager Governance & Risk	Unlikely	Low
429	Operational	Legal & Regulatory	26/03/2018	New instances of major fraud or corruption	New instances of major fraud or corruption		* financial liability or further legal / forensic accounting / other expenses; * reputational damage from adverse publicity; * distraction of management and staff from core functions of Council in investigation and resolution of fraudulent transactions.	Enterprise	Unlikely	Major	* Implement ICAC and NSW Audit Office recommendations within business process and controls project for high risk business processes; * Improved governance and internal controls internal audits and health checks * Maintain Internal Reporting Policy * Implement Fraud & Corruption Prevention Policy & Strategy * Communication & Training	Manager Governance & Risk	Unlikely	Low
433	Operational	Operational Service Delivery	26/03/2018	Lack of an integrated ERMS, and a poor risk management culture within Council	Lack of an integrated ERMS, and a poor risk management culture within Council		* poor risk culture within Council; * potential poor operational and strategic decisions impacting on Council's reputation	Enterprise	Unlikely	Moderate	Acquire and implement enterprise Risk Management system	Manager Governance & Risk	Rare	Low
432	Operational	Legal & Regulatory	26/03/2018	The organisation may lack the required Business Process and Internal Control documentation to an appropriate professional standard consistent with good governance	The organisation may lack the required Business Process and Internal Control documentation to an appropriate professional standard consistent with good governance		* poor stewardship and budgetary control; * increased exposure to fraud and corruption; * increased exposure to waste and inefficiency; * lack of transparency and accountability; * poor guidance available for training and performance measurement purposes	Enterprise	Likely	Minor	* Implement ICAC and NSW Audit Office recommendations within business process and controls project for high risk business processes; * Improved governance and internal controls internal audits and health checks	Manager Governance & Risk	Unlikely	Low

Bayside Council   Abridged View   Draft Operational Risk Register

Risk Number	Risk Classification	Risk Category	Date Entered xx/xx/xxxx	Risk Description	Risk Details	Causes	Consequences	Location	Inherent Likelihood	Inherent Consequence	Mitigation Strategy	Risk Owner	Residual Likelihood	Residual Consequence
427	Operational	Operational Service Delivery	26/03/2018	The organisation may not have the ability to implement the currently outstanding (draft) recommendations of the ICAC and the NSW Audit Office in a competent and timely manner	The organisation may not have the ability to implement the currently outstanding (draft) recommendations of the ICAC and the NSW Audit Office in a competent and timely manner		* loss of credibility of management; * significant reputational damage; * significant exposure to fraud and corruption; * government may place Council under further period of administration	Enterprise	Likely	Moderate	* Implement ICAC and NSW Audit Office recommendations within business process and controls project for high risk business processes; * Improved governance and internal controls internal audits and health checks * Set up Project Control Group * Engage Appropriate Expertise	Manager Governance & Risk	Unlikely	Low
426	Operational	Information Systems & Security	26/03/2018	Security breach - physical and IT * Council may suffer a major security breach by way of physical intrusion into secured Council Premises or intrusion into it's secure IT environment and data storage facilities	Security breach - physical and IT * Council may suffer a major security breach by way of physical intrusion into secured Council Premises or intrusion into it's secure IT environment and data storage facilities		* confusion and poor response should an emergency occur; * failure to deliver expected service levels in the event of a crisis or major adverse event; * significant financial losses on insurance deductibles; * significant reputational damage.	Enterprise	Unlikely	Major	* Develop and implement Crisis Management Plan & BCP * finalise migration of IT environment and DRP to State Government Data Centre * Review all ICT security policies * Review Gov. DC Security protocols	Manager Governance & Risk	Unlikely	Low
434	Operational	Operational Service Delivery	26/03/2018	Fraud Prevention (supplied) Council lacks a clearly articulated and understood Fraud Prevention Plan (added)	Fraud Prevention (supplied) Council lacks a clearly articulated and understood Fraud Prevention Plan (added)		* reputational damage and adverse publicity * reference to external agencies for investigation * economic loss * disruption to efficient operations	Enterprise	Unlikely	Minor	* Develop and implement Fraud and Corruption Prevention Policy and Strategy	Manager Governance & Risk	Unlikely	Low
436	Operational	Legal & Regulatory	26/03/2018	Reporting and escalating system	Reporting and escalating system		* matters of importance may not be detected and reported in a timely manner	Enterprise	Possible	Minor	* implement improved management reporting system	Manager Governance & Risk	Unlikely	Low
424	Operational	Financial	26/03/2018	Failure to recover losses from frauds to the extent predicted / expected	Failure to recover losses from frauds to the extent predicted / expected		* Council may incur further wasted legal and recovery costs; * Council will suffer further reputational damage; * Council will incur opportunity loss to the extent of the funds not recovered; * There may be an incorrect perception that fraudsters are allowed to "get away with it"	Enterprise	Likely	Moderate	* Communication Strategy * Reporting Regularly to Councillors * Messaging to Community and Councillors * Best legal advice possible obtained * Referral to appropriate external agency to pursue action i.e. NSW Crime Commission	Manager Governance & Risk	Likely	Moderate
423	Operational	Human Resources	26/03/2018	Failure to maintain a strong leadership team which delivers strong governance practices	Failure to maintain a strong leadership team which delivers strong governance practices		* Loss of corporate direction, purpose or momentum; * Loss of strong ethical foundations to good corporate governance; * Lack of continuity, change in direction and focus; * Not reaching strategic goals and objectives; * Learning curve for new individual, delay in achieving key objectives; * Failure to deliver community projects; * Inefficient allocation of resources; * Loss of credibility with community.	Enterprise	Unlikely	Minor	* Adopt Organisation Structure; * Executive Recruit Executive positions; * Appoint management positions; * Appoint remaining leadership positions * Regular performance reporting to Council	Manager People & Organisational Culture	Rare	Low
430	Operational	Legal & Regulatory	26/03/2018	Failure to adhere to Council's procurement policies and procedures	Failure to adhere to Council's procurement policies and procedures		* ad hoc purchasing practices across the organisation; * adverse internal and external audit findings; * increased exposure to fraudulent transactions; * failure to obtain best value for the organisation.	Enterprise	Possible	Moderate	* Implement ICAC and NSW Audit Office recommendations within business process and controls project for high risk business processes; * Improved governance and internal controls internal audits and health checks * Improved monitoring and reporting	Manager Procurement	Rare	Low

Bayside Council

Abridged View

Draft Operational Risk Register

Risk Number	Risk Classification	Risk Category	Date Entered xx/xx/xxxx	Risk Description	Risk Details	Causes	Consequences	Location	Inherent Likelihood	Inherent Consequence	Mitigation Strategy	Risk Owner	Residual Likelihood	Residual Consequence
435	Operational	Legal & Regulatory	26/03/2018	Children	Children		* reputational damage and adverse publicity	Enterprise	Possible	Minor	* Proper staff clearances obtained	Manager Recreation & Community Services	Unlikely	Low
				* Council may fail to continue to deliver quality childcare services to community	* Council may fail to continue to deliver quality childcare services to community		* reference to external agencies for investigation				* Audit checks conducted regularly			
				* Council may fail to ensure the safety of children within its care	* Council may fail to ensure the safety of children within its care		* economic loss							
				* Council may fail to meet all legislative requirements	* Council may fail to meet all legislative requirements		* disruption to efficient operations							

Bayside Council   **CONTROLS LISTING**   Operational Risk Register

Risk Number	Risk Description	Control Name	Control Description	Causes	Control Owner	Control Status	B/F Ref	Logic_1	Risk Number
2	Financial transactions may be subject to error, theft or fraud	Code of conduct	Codes of conduct		Manager Finance		R0002	FALSE	2
2	Financial transactions may be subject to error, theft or fraud	Delegations Register	Delegations		Manager Finance		R0002	FALSE	2
2	Financial transactions may be subject to error, theft or fraud	External Audits	External audits		Manager Finance		R0002	FALSE	2
2	Financial transactions may be subject to error, theft or fraud	Internal Audits	Internal audit controls		Manager Finance		R0002	FALSE	2
2	Financial transactions may be subject to error, theft or fraud	Policies and procedures	Policies and procedures		Manager Finance		R0002	FALSE	2
2	Financial transactions may be subject to error, theft or fraud	System security controls	System security controls		Manager Finance		R0002	FALSE	2
4	Payroll not processed on time	Backup Payroll Procedures	Instruct bank to pay same as previous period		Manager Finance		R0004	FALSE	4
4	Payroll not processed on time	System support	System support		Manager Finance		R0004	FALSE	4
5	Unplanned loss of key staff	Policies	Policies, procedures		Manager Finance		R0005	FALSE	5
6	Statutory financial requirements may not be adequately delivered	Procedures	Policies, procedures		Manager Finance		R0006	FALSE	6
8	Reconciliations not completed properly or in a timely manner	Financial Reconciliation of Subsidiary Systems to General Ledger	Reconciliation of Debtor's Ledger to General Ledger		Manager Finance		R0008	FALSE	8
8	Reconciliations not completed properly or in a timely manner	Financial Reconciliation of Subsidiary Systems to General Ledger	Reconciliation of Pathway Debtors and General Ledger		Manager Finance		R0008	FALSE	8
8	Reconciliations not completed properly or in a timely manner	Financial Reconciliation of Subsidiary Systems to General Ledger	Reconciliation of Pathway Rates Ledger and the General Ledger		Manager Finance		R0008	FALSE	8
8	Reconciliations not completed properly or in a timely manner	Financial Reconciliation of Subsidiary Systems to General Ledger	Reconciliation of the Rates Ledger to the General Ledger		Manager Finance		R0008	FALSE	8
8	Reconciliations not completed properly or in a timely manner	Financial Reconciliation of Subsidiary Systems to General Ledger	Reconciliation of Waste Register to Pathway		Manager Finance		R0008	FALSE	8
9	Non-compliant Investments	Investment rollover procedures	Roll over Council Investments:		Manager Finance		R0009	FALSE	9
9	Non-compliant Investments	Investments Policy	Investment Of Council's Funds Policy		Manager Finance		R0009	FALSE	9
10	Non-compliant Loan Funds	Loan Funds Policy	Loan Funds Policy		Manager Finance		R0010	FALSE	10
21	Transactions account allocations may be inaccurate	Routine financial reporting and analysis by Managers	Financial Analysis and formal recording/archiving of Managers Budget Performance actions		Manager Finance		R0021	FALSE	21
21	Transactions account allocations may be inaccurate	Monthly Financial Variance Reporting	Preparation of Monthly Financial Variance Reports		Manager Finance		R0021	FALSE	21
21	Transactions account allocations may be inaccurate	Recognition and Use of Budgetary Surpluses Policy	Recognition and Use of Budgetary Surpluses Policy		Manager Finance		R0021	FALSE	21
22	Routine Financial reporting may be inadequate	Quarterly Financial Reporting	Quarterly Reporting		Manager Finance		R0022	FALSE	22
27	Section 94 Income may recorded or expended correctly	Accounting for Section 94 income	Accounting for Section 94 income		Manager Finance		R0027	FALSE	27
160	Grant application and acquittal processes ineffective	Lobbying and submissions via SSROC and other forums	Lobbying and submissions via SSROC and other forums		Manager Finance		R0165	FALSE	160
160	Grant application and acquittal processes ineffective	Lobbying of relevant Ministers	Lobbying of relevant Ministers		Manager Finance		R0165	FALSE	160
218	Cost shifting by other levels of government	Cash reserve policy	Cash reserve policy		Manager Finance		R0223	FALSE	218
218	Cost shifting by other levels of government	Regular rate increase submissions	Regular rate increase submissions		Manager Finance		R0223	FALSE	218
374	Special Rates Variation (SRV) Revenue may recorded or expended correctly	SRV Projects	SRV Projects monitored and managed		Manager Finance		R0381	FALSE	374

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Risk & Audit Committee   23/08/2018

Item No	5.5
Subject	**Business Continuity Management Policy**
Report by	John Hughes, Coordinator Risk Management
File	F13/418
Duration	15 minutes

Summary

The revised Risk Management Work Program 2017-2018 includes harmonisation of Business Continuity Plans.

Development and adoption of the Business Continuity Management Policy establishes the policy baseline for delivery and ongoing maintenance of this requirement.

The Business Continuity Management Policy was endorsed by the Executive Committee at its meeting held on 7 June 2018 and is now presented to the Risk & Audit Committee for consideration and endorsement.

The Business Continuity Plan (BCP) for the Bayside Administration Centre precinct is in an advanced stage of development and is the subject of a separate report to the Risk & Audit Committee.

Officer Recommendation

1   That the report be received and noted.

2   That the attached Business Continuity Management Policy be adopted.

Background

Council recognises that a significant threat exists to its ability to continue normal business operations following a major disruption. Council has a high level of dependency upon its people, systems and processes and this creates risks, which need to be managed.

Business Continuity Management is a structured approach to identifying disruption-related risks and building capability to respond to a disruption to Council, in order to ensure continued delivery of key business services and achievement of critical business objectives. It is an important part of Council's overall risk management framework.

The purpose of the Business Continuity Management Policy (the Policy) is to provide an overview of the approach to business continuity management and establish appropriate responsibilities. The policy outlines Council's commitment to and objectives around managing disruption-related risks that may impact on Council's ability to deliver services and achieve objectives.

The Policy provides a framework to mitigate the potential consequences of a major disruption by putting in place an effective Business Continuity Management Program to ensure that Council can continue to deliver a level of service to stakeholders in the event of a disruption.

The BCP for the Bayside Administration precinct is in an advanced stage of development and planned workshops with the Executive Committee will determine the critical functions and response times for inclusion in the BCP.

The BCP for the Bayside Administration precinct will be provided in a separate report.

Financial Implications

Not applicable	☒
Included in existing approved budget	☐
Additional funds required	☐

Community Engagement

Not Applicable

Procurement

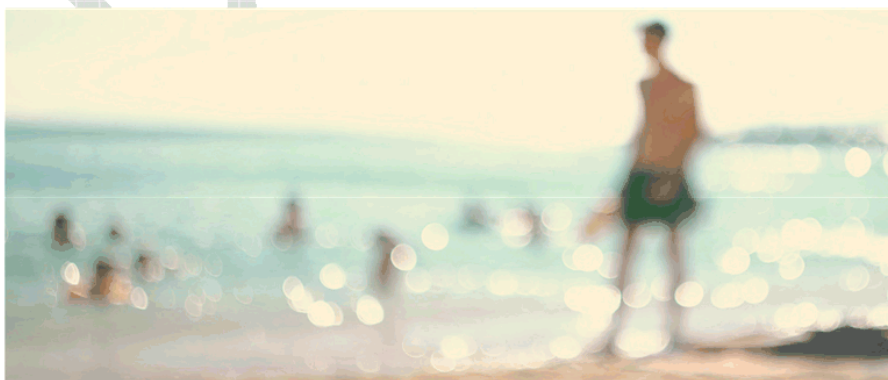|	
Not applicable	☒
Applicable – procurement method	☐

Attachments

Business Continuity Management Policy ⇩

Bayside Council
Serving Our Community

Business Continuity Management Policy

DDD MMM YYYY

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Business Continuity Management Policy
File: F13/418 Document: 18/71751
Class of document: Council Policy

Enquiries: Manager Governance & Risk

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Contents

1   Introduction

1.1   Background

Council recognises that a significant threat exists to its ability to continue normal business operations following a major disruption. Council has a high level of dependency upon its people, systems and processes and this creates risks, which need to be managed.

Business Continuity Management is a structured approach to identifying disruption-related risks and building capability to respond to a disruption to Council, in order to ensure continued delivery of key business services and achievement of critical business objectives. It is an important part of Council's overall risk management framework.

The purpose of the Business Continuity Management Policy (the Policy) is to provide an overview of the approach to business continuity management and establish appropriate responsibilities. The policy outlines Council's commitment to and objectives around managing **disruption-related risks** that may impact on Council's ability to deliver services and achieve objectives.

The Policy provides a framework to mitigate the potential consequences of a major disruption by putting in place an effective **Business Continuity Management Program** to ensure that Council can continue to deliver a level of service to stakeholders in the event of a disruption.

1.2   Definitions

The definitions of certain terms are:

Awareness
To create understanding of basic BCM issues and limitations. This will enable staff to recognise threats and respond accordingly. Examples of creating such awareness include distribution of posters and flyers targeted at company-wide audience or conducting specific business continuity briefings for executive management of the organisation. Awareness is less formal than training and is generally targeted at all staff in the organisation.

Business Continuity
The capability of Council to continue delivery of services at an acceptable level following a disruption.

Business Continuity Management (BCM)
A holistic management process that identifies disruption-related risks to Council and the impacts to operations that those risks – if realised – might cause, and which provides a framework for building the capability for an effective response that safeguards the interests of its key stakeholders and reputation.

Business Continuity Management Program
Ongoing management and governance process supported by top management and appropriately resourced to ensure that the necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies and plans, and ensure continuity of services through training, exercising, maintenance and review.

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Crisis Management Team (CMT)
A group of individuals responsible for implementing a comprehensive plan for responding to a disruption. The team consists of a core group of decision-makers trained and prepared to respond to any situation.

Critical Business Function
Functions that may, if disrupted, have a material or High rated impact within 30 days. A disruption may result in serious legal, financial, regulatory, reputational, or other material consequences and Council will lose the capability to effectively achieve its critical objectives.

Disruption
An event that interrupts normal business functions, operations, or processes, whether anticipated (e.g. cyclone, industrial dispute, political unrest) or unanticipated (e.g. a blackout, terror attack, technology failure or earthquake).

Disruption-related risk
Risk arising from the possibility of disruption events. E.g. Loss of premises as a result of a fire. A disruption-related risk is also classified as an operational risk.

Emergency
An event, actual or imminent, which endangers or threatens to endanger life, property or the environment, and which requires a significant and coordinated response. Response to an emergency is provided by first responders and emergency services.

Exercise
A process to assess, practice, and improve capability to respond to a disruption. There are many different types and variations of exercises including walk-through, simulation, functional, performance and full site. A Test is a type of exercise, which incorporates an expectation of a pass or fail element within the goal or objectives of the exercise being planned.

Maximum Tolerable Period of Disruption (MTPD)
The time it would take for an adverse impact, which might arise as a result of not providing a service or performing an activity, to become unacceptable. The MTPD is determined based on consideration of a disruption occurring at the worst possible time and the subsequent time taken for a High rated impact to result. If the MTPD is within 30 business days then the function is deemed critical and further analysis must be conducted, recovery objectives determined and recovery strategy developed.

Recovery Objectives
Pre-defined goals for recovering **Critical Business Functions** to a specified level of service (**Recovery Level Objective**) within a defined period (**Recovery Time Objective**) following a disruption.

Recovery Level Objective
Minimum level of services that is acceptable to Council to achieve its objectives during a disruption.

Recovery Point Objective (RPO)
Point to which information used by an activity must be restored to enable the activity to operate upon recovery. Also known as maximum data loss. The RPO is used to determine the appropriate back up strategy.

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Recovery Time Objective (RTO)
The target time for recovery of a **Critical Business Function** to an acceptable level (**Recovery Level Objective**) following its disruption. The **RTO** must be less than the time it would take for the adverse impacts that would arise as a result of not providing a service or performing an activity to become unacceptable (**MTPD**). The difference in time between the MTPD and RTO reflects the risk appetite of the Council and the amount of desired buffer to cater for assessment, decision-making and unknown complications in implementing recovery strategies.

Training
Training is more formal than awareness. It aims to build knowledge and skills to enhance competency in job performance. Whereas awareness is generally targeted at all staff, training is directed at staff with specific functions and responsibilities.

1.3 Policy statement

Council is committed to ensuring the safety of people and continuity of its critical business functions during periods of major disruption. Council recognises that it needs to minimise the impact of disruption and that this necessity to ensure a speedy restoration of services requires a significant level of advance planning and preparation.

The Council and management are committed to maintaining an effective and efficient BCM framework. This commitment will be demonstrated by:

- incorporating Business Continuity Management into Council's risk management framework;
- maintaining a Business Continuity Management Program (BCM Program) that is appropriate to Council's business and environment;
- adopting a formal, structured Business Continuity Management approach consistent with the principles of the Business Continuity Institute Good Practice Guidelines;
- ensuring that plans to respond to disruption-related risk are kept up-to-date and are subject to periodic review and testing;
- ensuring the Business Continuity Management Program is subject to periodic reviews;
- involving staff and management as appropriate.

1.4 Scope

This policy applies to all staff and operations of Bayside Council. Management of disruption-related risks should be considered in day-to-day business activities, all projects and supplier arrangements.

2 Procedure

2.1 Business Impact Analysis

Council conducts Business Impact Analysis (**BIA**) in order to identify all **critical business functions**, resources and infrastructure and assess the impact of a disruption on these. The BIA takes into account:

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(a) plausible disruption scenarios;

(b) the period of time for which Council could not operate without each of its critical business functions (**Maximum Tolerable Period of Disruption**); and

(c) the extent to which a disruption to the critical business functions might have a material impact on the interests of stakeholders.

(d) the financial, legal, regulatory and reputational impact of a disruption to Council's critical business functions over varying periods of time

A key component of the BIA is an assessment of disruption-related risks and plausible disruption scenarios. Council has identified the following plausible disruption scenarios as being relevant to the ongoing provision of Council services:

- Loss of premises (permanent or temporary)
- Loss of key personnel
- Loss of IT systems and / or data
- Loss of other dependencies including key suppliers, utilities and office equipment

An assessment of the risks arising from each of these scenarios has been undertaken in accordance with the process outlined in Council's Risk Management Policy and Risk Management Strategy. The risk assessment will be reviewed and updated on an annual basis or following any material changes to business operations and / or risk profile.

The BIA is designed to identify Critical Business Functions that may, if disrupted, result in any of the following High rated impacts to Council within 30 days of a disruption occurring:

- Financial loss >$1m (not property damage related)
- Serious medium-term effect on environment
- Serious public safety issue
- Significant reputational risk (negative political / media interest or impact on staff morale)
- >6-month delay in achieving objectives

The period of time until the disruption of a business function results in a High impact is the Maximum Tolerable Period of Disruption. For each Critical Business Function, recovery strategies must be determined and documented in Business Continuity Plans to ensure recovery within the target timeframe (**Recovery Time Objective**) to avoid a High impact to Council.

A **Recovery Point Objective** is determined based on the acceptable amount of rework and provided to the Information Technology function to implement an appropriate the back-up strategy.

The BIA will be reviewed and updated on an annual basis or following any material changes to business operations and/or key dependencies.

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2.2 Business Continuity Planning

Council has developed the following framework of Business Continuity Plans which contain procedures and information that will enable Council to respond to an emergency, manage an initial business disruption (crisis management) and recover Critical Business Functions. Each of the BCPs document:

(a) critical business functions;
(b) time targets for recovery of each critical business function (RTO);
(c) recovery strategies for each critical business function;
(d) infrastructure and resources required to implement the BCP;
(e) roles, responsibilities and authorities to act in relation to the BCP; and
(f) communication plans with staff and external stakeholders.

Planning responsibility for each Business Continuity Plan includes the securing of appropriate financial resources within Council's budgeting processes. It is intended that all plans can operate independently or simultaneously during a business disruption, depending upon the nature of the disruption and the impact it has upon Council.

PLAN	DESCRIPTION	RESPONSIBILITY	
		Planning	Execution
EMERGENCY RESPONSE PROCEDURES	Site-specific procedures for the preservation of life, site evacuation and emergency services notification.	Manager People and Organisational Culture	Chief Wardens Site Controllers All staff
CRISIS MANAGEMENT PLAN	Identifies how the Council Executive Leadership Team manages an organisation-based business disruption. It outlines the Executive roles and responsibilities and the recovery from an organisational perspective.	Manager Governance & Risk	Crisis Management Team
BUSINESS RECOVERY PLANS	Recovery procedures for Council's critical business functions / services from a business disruption.	Business Unit Owner	Business Unit Owner
ICT DISASTER RECOVERY PLAN	A set of action-orientated plans and/or procedures used by IT Staff to recover applications, systems and infrastructure from an Information Technology disruption.	Manager Information Technology	Manager, Information Technology
BUSINESS RESUMPTION PLAN	A plan which identifies medium and long-term recovery strategies to reinstate all business processes and return Council to its pre-disruption (or Business-a-Usual) state.	Manager Governance & Risk	Business Owners
BAYSIDE PANDEMIC PLAN	Council's response to a flu pandemic within the Bayside Local Government Area. This plan is to be developed based on NSW Department of Health and World Health Organisation (WHO) Pandemic procedures.	Manager People and Organisational Culture	Crisis Management Team
BAYSIDE LOCAL EMERGENCY MANAGEMENT PLAN (LEM Plan)	For Council-specific aspects of LEM Plan: Addresses Council's response to a variety of disasters within or impacting the Bayside region. This plan provides the mobilisation protocol for all agencies and resources within the region.	Local Emergency Management Committee	(Bayside) Local Emergency Management Officer
BOTANY BAY PRECINCT EMERGENCY SUB-PLAN	Details the arrangements for control and coordination of the response to an emergency or imminent emergency impacting on the Botany Bay Precinct. The plan should be read in conjunction with the LEM Plan.	State Emergency Operations Controller	Local Emergency Operations Controller

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2.3 Reviewing and Exercising

The BIA and BCPs will be reviewed annually, or following any material changes to business operations, to ensure that the BCP continues to meet business continuity management objectives. The Manager Governance & Risk is responsible for facilitating and monitoring the timely review of BIAs and BCPs by plan owners and providing a report to the Risk & Audit Committee.

BCPs will be exercised annually. The scope and nature of annual exercises will be determined by the Manager Governance & Risk and agreed by the Director City Performance. The results of each exercise will be presented to the Risk & Audit Committee. If the exercise identifies any shortcomings the BCPs will be updated accordingly.

2.4 Training and Awareness

Training will be provided to:
- all staff members involved in the BIA process to ensure conducted appropriately; and
- members of the Crisis Management Team and other personnel with responsibilities under Council's BCPs to ensure that they are familiar with their roles and responsibilities.

This includes appropriate training for any new employees within a reasonable period of their commencing employment.

All staff should be provided with a basic awareness of the BCM Program to:
- provide assurance that Council has plans in place to protect staff and recovery services;
- provide support for active participation in the BCM Program including BIA and BCP update and exercises; and
- ensure staff maintain up-to-date emergency contact details.

The Manager, Governance & Risk is responsible for arranging appropriate BCM training in conjunction with the Coordinator Learning & Development.

3 Policy implementation

3.1 Policy responsibilities

The **General Manager** is ultimately responsible for Council's Business Continuity Management Program. Operational responsibility has been delegated to the **Director City Performance** and the **Manager Governance & Risk** who assists in facilitating the BCM Program through the **Coordinator Risk Management**.

The **Coordinator Risk Management** is responsible for ensuring the Directors and Managers are properly informed of their responsibilities under this policy for BCP Risk Assessment, Testing, Reporting and other matters as directed by the **Manager Governance & Risk**.

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Directors and *Managers* are responsible for ensuring that within their Directorate or area of business operations:

- all disruption-related risks are identified;
- critical business functions are identified;
- recovery objectives are determined;
- recovery strategies are documented; and
- appropriate awareness and testing of the business continuity plans are performed.

Each emergency plan owner is responsible for ensuring that their plan is periodically tested and reviewed.

All staff are expected to maintain an awareness of their roles and responsibilities in the event of a disruption and participate as required or directed.

The *Internal Auditor*, or an appropriate external expert, must periodically review Business Continuity Management and provide assurance to the Risk & Audit Committee that:

- the Business Continuity Management Program is in accordance with the Policy and that Business Continuity Plans address the risks they are designed to control; and
- testing procedures are adequate and have been conducted satisfactorily.

3.2   Breaches

Sanctions for a breach of this policy will be determined in accordance with the provisions applied under the Council's Code of Conduct. Staff members in breach of this policy will be subject to disciplinary procedures as provided under the Local Government (State) Award.

4   Document control

4.1   Review

This policy will be reviewed every four years or more frequently in the event of any material changes in circumstances. This includes when there are changes to the Risk Management Policy or Risk Management Strategy.

The General Manager and Manager Governance & Risk may approve nonsignificant and/or minor editorial amendments to this document that do not change the policy substance.

4.2   Related documents

- Risk Management Policy
- Risk Management Strategy
- Procurement Policy
- Occupational Health and Safety Policy

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- Business Continuity Institute Good Practice Guidelines
- Circular to Councils 07-12 Business Continuity Plans
- Local Government Reform Program – Promoting Better Practice Checklist
- Circular to Councils 09-16 Review of Business Continuity Plans
- Implementing Emergency Risk Management Through The Integrated Planning and Reporting Framework: A Guideline for Local Government & Emergency Managers

4.3 Version history

Version	Release Date	Author	Reason for Change
1.0		John Hughes	New document

Business Continuity Management Policy   I I

Risk & Audit Committee 23/08/2018

Item No	5.6
Subject	**Bayside Administration Precinct Business Continuity Plan**
Report by	John Hughes, Coordinator Risk Management
File	F13/507

Summary

This report presents the first draft of the updated Bayside Administration Precinct Business Continuity Plan (BCP).

This draft BCP has been prepared with for the Bayside Administration precinct at 444 Princes Highway and 2 Bryant Street Rockdale and will become the "model" BCP for the development and/or revision of BCPs for remaining Bayside operating locations. It is based on a previous Executive Committee decision to use the expertise of "Inconsult" to recommend recovery priorities.

Officer Recommendation

That the report be received and noted.

Background

This Business Continuity Plan has been developed to be used by Bayside Council staff to restore business operations in the event of an unscheduled business disruption or catastrophic event affecting the Bayside Administration Precinct (Rockdale Customer Service Centre, Central Library and Bayside Administration Building). It covers all mission critical business functions and mission critical ICT systems and applications. The Business Continuity Plan is divided into four main sections which correspond to the key phases of a disaster as follows:

- Emergency Response
- Crisis Management
- Business Recovery
- Business Resumption.

The Executive has reviewed and agreeed the recovery priorities set out in the Business Recovery Plan segment of the BCP. The Crisis Management Team will be undertaking a facilitated Crisis Management exercise scenario, to test and refine the draft BCP. The contact list is currently being reviewed to ensure it reflects the curent structure and responsibilities.

Attachments

Bayside Council Administration Precinct Business Continuity Plan July 2018 Draft 0_21 ⇩

Business Continuity Plan
- Bayside Administration Precinct

In effect from July 2018

Approved by: _____
General Manager - Meredith Wallace

Document and Version Control

Document Owner	Title
John Hughes	Coordinator, Risk Management

Version Control:

Version	Effective Date	Key Changes	TRIM Document Reference
0.21	July 2018	Initial Draft for Bayside Council	18/94687

Revision Schedule:
The Business Continuity Plan including the appendices will be reviewed and updated at least annually, with more frequent updates depending upon changes to business or environment. The Coordinator, Risk Management will undertake this review in conjunction with appropriate risk owners throughout the business.

Table of Contents

Introduction: Guide to Using This Business Continuity Plan

This Business Continuity Plan has been developed to be used by Bayside Council staff to restore business operations in the event of an unscheduled business disruption or catastrophic event affecting the Bayside Administration Precinct (Rockdale Customer Service Centre, Central Library and Bayside Administration Building). It covers all mission critical business functions and mission critical ICT systems and applications. The Business Continuity Plan is divided into four main sections which correspond to the key phases of a disaster as follows:

- Emergency Response
- Crisis Management
- Business Recovery
- Business Resumption

Section 1: Emergency Response

Emergency means: any incident, whether natural, technological or human-caused, that requires responsive action to protect life or property.

This section provides a response structure to effectively deal with an emergency where there is a threat to life and provides checklists and procedures for managing evacuations, medical emergencies and emergency contacts. The **Emergency Response Plan** aims to ensure the safety and wellbeing of employees, customers and contractors during an emergency incident and protect the Bayside Council administration centre from theft or further damage following conclusion of the incident. This section provides an overview of Bayside Council's emergency procedures. It should be used as a reference point rather than a substitute for Bayside Council's adopted emergency procedures.

Section 2: Crisis Management

This section provides a protocol for dealing with major disruptions and includes a crisis management structure, contact lists, key roles and responsibilities and details of alternate sites. In the event of an unscheduled business interruption or catastrophic event, the Crisis Management Plan will enable the Crisis Management Team to provide business leadership and direction during the incident.

This section includes:
- an overview on managing a crisis and business disruption
- tools and sequence for declaring a crisis
- activation of the CMT
- activation of the Crisis Command Centre
- assessment of potential impacts and
- selection of an appropriate recovery strategy.

Section 3: Business Recovery

This section includes a series of recovery strategies designed to enable the recovery of critical business functions. Critical business function lists and the minimum resources required to support the implementation of recovery strategies at alternate sites are also provided. Recovery strategies have been developed for the following events:

- failure of information technology infrastructure and communication systems
- temporary denial of access to site
- permanent loss of site and
- loss of key people / staff.

Section 4: Business Resumption

This section contains a series of actions and steps designed to return Bayside Council to its pre-interruption status. This includes restoration or relocation of facilities and resumption of operations to maximum capacity. The Business Resumption Plan will commence as soon as possible after activation of the Business Recovery Plan without interfering with critical tasks or diverting key personnel from the initial recovery process.

The diagram below shows the process flow when managing an unscheduled business disruption or catastrophic event and the relevant sections to refer to in the Bayside Council Business Continuity Plan.

Bayside Council
Serving Our Community
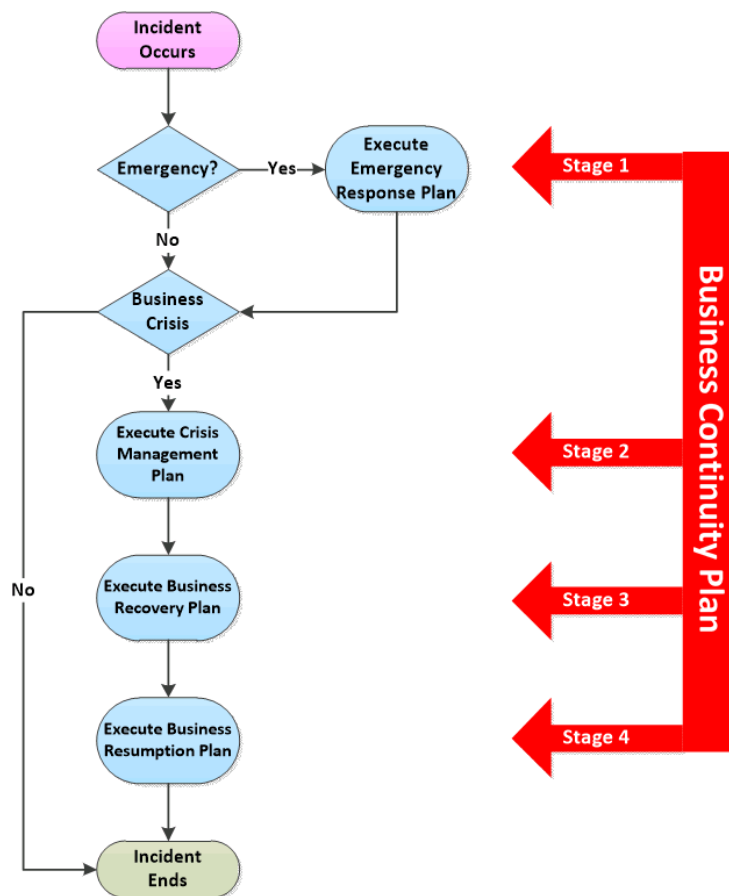
Section 1:

Emergency Response Plan

Contents:

1.1 *Emergency Response Team*
1.2 Emergency Checklist
1.3 Emergency Procedures
1.4 Emergency Contacts
1.5 Assembly Area Site Map

Section 1: Emergency Response Plan

The Bayside Council's **Emergency Response Plan** is designed to:

- Ensure the safety and wellbeing of staff and visitors during an emergency incident
- Protect Bayside Council from theft or further damage during and after an incident

To assist the Bayside Council, respond to an emergency, the following tools and procedures are provided:

- *Emergency Response Team* structure to facilitate evacuation of persons during an emergency in conjunction with Building Management
- Checklists to assist the Bayside Council effectively manage the initial emergency response
- Procedures for managing specific incidents including: fire, bomb threat, armed hold-up and medical emergencies
- List of local emergency contacts

1.1 Emergency Response Team

In accordance with good practice (i.e. Australian Standard *AS3745-2010 Planning for emergencies in facilities*), Bayside Council must provide a team responsible for emergency control and coordination for each of the Bayside Council buildings and this group is known as the *Emergency Response Team*.

The *Emergency Response Team* consists of *Floor Wardens* and *First Aid Officers* who should facilitate the actual evacuation of the site during an emergency and the consequent emergency actions required to ensure the safety and wellbeing of staff, contractors, clients and visitors. They may also provide ad hoc assistance to the *Crisis Management Team*. Key responsibilities of the *Floor Wardens* include:

- ascertaining the nature of the emergency and determining an appropriate course of action,
- notifying emergency services,
- ensuring actions are communicated to other members of the *Emergency Response Team*,
- facilitating evacuation and securing the premises,
- briefing *Emergency Services* on arrival, and
- maintaining a log of events.

During an emergency event, *Floor Wardens* will report actions and outcomes to the *Emergency Response Coordinator* to report to the *Crisis Management Team*. The *Crisis Management Team* is responsible for monitoring the event from a strategic level and ensuring appropriate and timely decisions are made. Key members of the *Emergency Response Team* include:

Position	Name
Emergency Response Coordinator	Kristina Forsberg
Bayside Administration Building - Fire Warden	Colin Mable
Bayside Administration Building - First Aid Officer	Colin Mable
Rockdale Customer Service Centre – Fire Warden	
Rockdale Customer Service Centre – First Aid Officer	

Note: In the event of an incident affecting the Bayside Council Administration building, particularly out of office hours, the following individuals should be contacted for assistance.

Position	Name	Position	Contact Number
1st Contact	Greg Baker	Coordinator Venues	0416 121 586

The contact person above who receives the call regarding the incident will **immediately** contact the Bayside Council's *General Manager* **or** an *Alternate* who will assess the situation and if required activate the **Crisis Management Plan**.

1.2 Emergency Checklist

This checklist should be used by the Bayside Council's *Emergency Response Team* and/or *Crisis Manager* during and immediately following an emergency incident. All emergency contact numbers are listed in section 1.4.

✓	Emergency Task
❑	Determine nature of emergency and appropriate course of action.
❑	Call Emergency Services on 000 – ask for fire, ambulance or police.
❑	Advise Emergency Services of street address
❑	Co-ordinate with Building Manager and nominate someone to direct emergency services to building entrance.
❑	Provide first-aid to injured persons whilst waiting for emergency help and take kit to treat staff at Assembly area.
❑	Notify emergency services immediately of injuries, even minor ones.
❑	Evacuate immediately if there is danger to people.
❑	Liaise with and brief Building Manager and Emergency Services on arrival – type, scope and location of incident.
❑	Liaise with Building Services to prevent all persons (including visitors) from re-entering premises until deemed safe.
❑	Evacuate and follow instructions from Building Management
❑	Check web systems for swipe-ins (Greg Baker and Francois Alleaume) – swipe-out data unavailable.
❑	Ensure all persons are accounted for at Emergency Assembly Area.
❑	For employees that suffered injuries, contact 'next of kin' if appropriate
❑	Organise counselling for staff that are traumatised by the incident through workers compensation insurer
❑	Ensure a Human Resources staff member is on site.
❑	Human Resources staff member to remind employees of services available to them via Employee Assistance Program (EAP) should they require counselling for issues like emotional stress. To access counselling services staff can contact EAP on 1800 337 068 or book an appointment online through www.convergeinternational.com.au Human Resources staff member to be on site to advise.
❑	For employees that suffered injuries, contact 'next of kin' if appropriate
❑	Organise counselling for staff that are traumatised by the incident through workers compensation insurer
❑	Contact Building Manager to secure Bayside Council's premises to prevent theft or further damage
❑	Organise Building Manager to provide 24-hour protection of premises if required
❑	Report serious injuries to Workers Compensation insurer within 24 hours of the incident
❑	Direct all media enquiries to Communications Coordinator.
❑	Contact the insurance broker / Civic Risk Mutual and third-party claims manager to report the incident
❑	Write a detailed report on what happened, any injuries sustained, and actions taken

❑	Liaise with updates to the Bayside Council's *Crisis Management Team* when the Crisis Management Plan is activated.
❑	After the incident, conduct a debrief with staff on what happened, why, how could it be prevented/controlled in the future and how it was handled

1.3 Emergency Procedures

The following emergency procedures are designed to assist Bayside Council's *Emergency Response Team* respond to any incident with potential to cause injury to persons or damage to property. These procedures are not designed to replace the posted Emergency Evacuation procedures for each location but rather supplement them and provide an additional layer of protection for staff in the event of an incident.

Fire Evacuation Procedures:

✓	Fire Evacuation Task
❑	**RACE**: **R**emove persons from danger, raise the **A**larm, try to **C**ontain the fire, **E**vacuate.
❑	If you see smoke, don't panic and remain calm.
❑	Fire reels and hoses are outside male and female toilets.
❑	One fire extinguisher in cupboard outside female toilet.
❑	Only fight a fire if it is small and you have been trained to use firefighting equipment.
❑	Chief Warden to contact the fire brigade on 000.
❑	Prepare to evacuate – alert staff and make sure they know where the assembly area is and follow instructions from Evacuation Wardens.
❑	Check that the evacuation route is clear of fire, smoke and other obstacles.
❑	Leave the area and close all doors as you go. This will help prevent the spread of fire.
❑	Evacuate staff and visitors in an orderly manner. Evacuate those in immediate danger as a priority.
❑	After all persons have evacuated, check all rooms including male and female toilets.
❑	Assist people with disabilities. If they cannot self-evacuate, relocate them to fire stairs and notify the Fire Brigade – don't leave them alone.
❑	Prevent all persons from re-entering the premises unless it is deemed safe.
❑	Ensure all persons are accounted for at the Emergency Assembly Area in the York Street car park as shown in the diagram in Section 1.5. Do not allow people to leave this area without your authorisation.

Medical Emergencies:

✓	Medical Emergency Task
❑	Call 000 and request an ambulance – outline the nature of the emergency, your address and nearest cross street.
❑	If a First-Aid Officer is available, they should provide first-aid treatment to the casualty. Prevent persons without first-aid training from treating the casualty.
❑	Avoid moving the casualty unless necessary.
❑	If the casualty is conscious, offer reassurance whilst first-aid treatment is being provided.
❑	Ensure there is a clear path for ambulance officers to access the casualty. Nominate someone to direct emergency services to the building entrance.
❑	Keep records of what happened, how and when including first-aid treatment provided by colleagues.

1.4 Emergency Contacts

Emergency	Telephone
Emergency - Police, Fire Brigade and Ambulance	000
Police St George Local Area Command	02 8566 7499
Fire Station – Kogarah	02 9587 0878
Fire Station – Arncliffe	02 9597 4130
Ambulance Station – Kogarah	02 9320 7777
Medical	Telephone
St George Hospital – Gray St Kogarah	9113 1111
Randwick Hospital – St George	9382 1111
Royal Prince Alfred Hospital, Missenden Rd Camperdown	9515 6111
Arncliffe Family Health Clinic – 1 Queen St Arncliffe	9597 3366
Utilities	**Telephone**
Electrical Contractor – Modern Electric	9597 6322 or 0412 156 123
Ausgrid Emergency	131 388
Gas - Jemena	131 909
Water – Sydney Water	13 20 92
Telephony -	
Fire Alarms – Chubb	1800 001717
Security Alarms – Wilson Security	1300 945 766

1.5 Bayside Administration Assembly Area Site Map

EVACUATION ASSEMBLY POINTS
Administration Building

EVACUATION ASSEMBLY POINTS
Town Hall
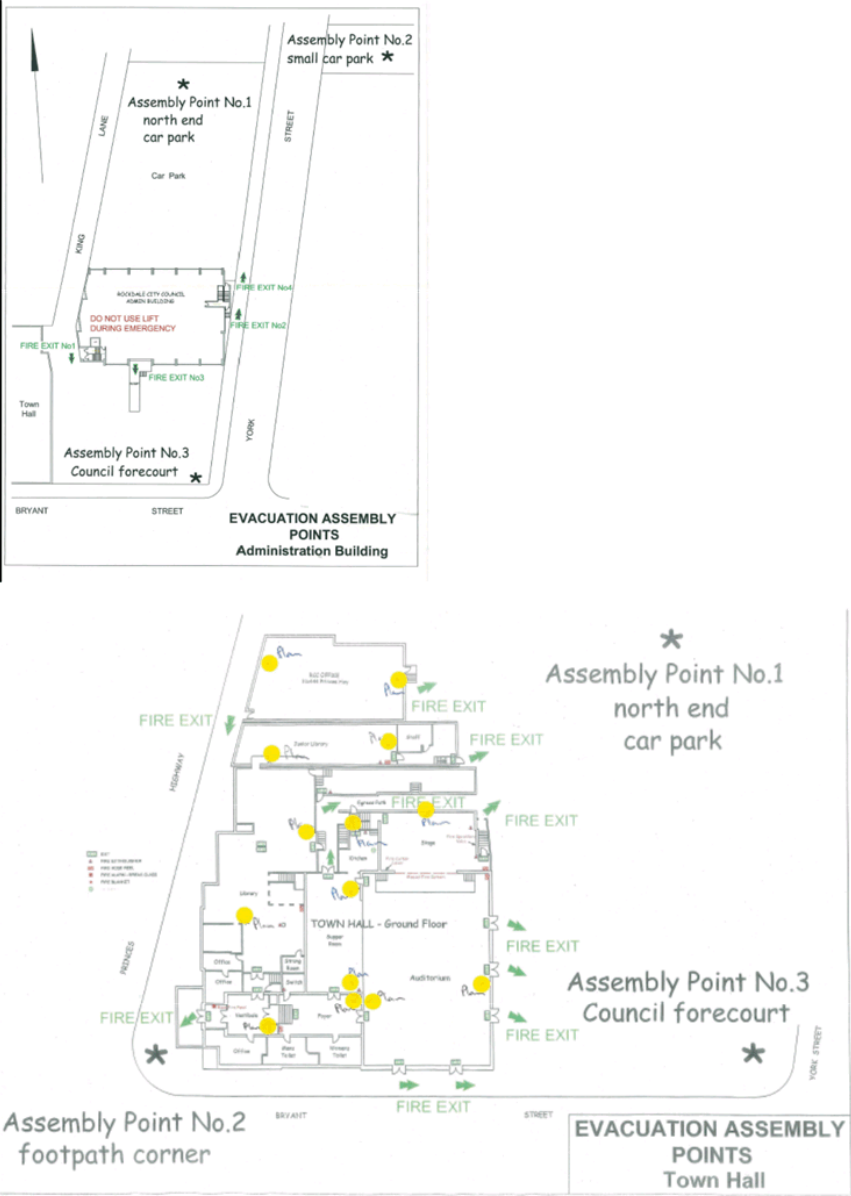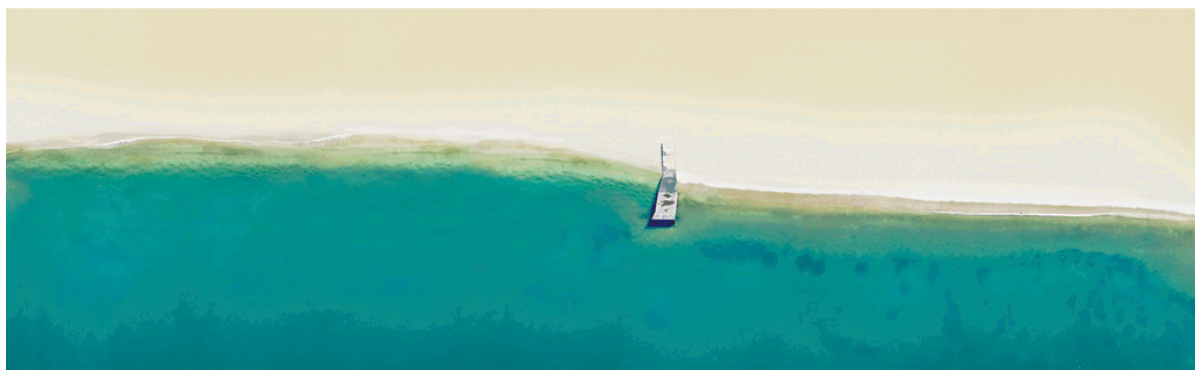
Section 2:

Crisis Management Plan

Contents:

2.1 Crisis Management Structure
2.2 Roles and Responsibilities
2.3 Immediate Crisis Actions
2.4 Business Incident Assessment Tool
2.5 Activate the CMT via Call Tree
2.6 Activate the Crisis Command Centre

Section 2: Crisis Management Plan

The purpose of Bayside Council's **Crisis Management Plan** is to:

- Provide a standard protocol for dealing with critical incidents / major crisis.
- Align personnel to critical procedures.
- Direct response in times of crisis in accordance with this **Business Continuity Plan** and any subsequent updates.

2.1 Crisis Management Team

In the event of business disruption, Bayside Council's *Crisis Management Team* (*CMT*) will be responsible for providing business leadership and direction during each phase of an incident with support from other key staff as required. The CMT outlined below is made up of six primary team members. An alternate team member has been identified for each role in the event of a disruption and the primary team member is not available.
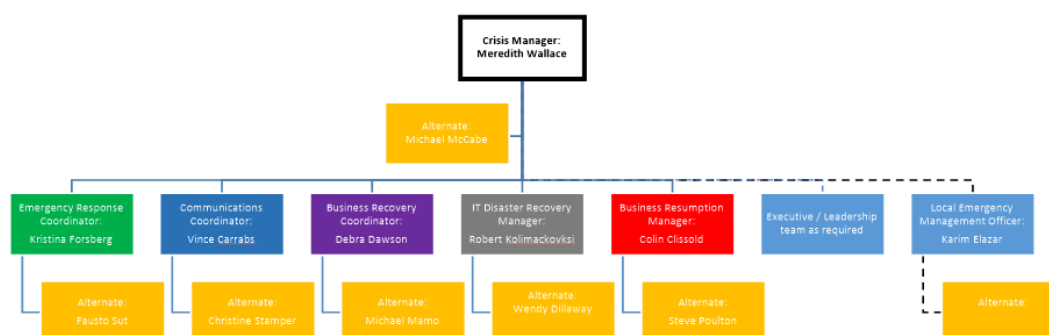
CMT Role	BAU Position	Name	Contact details
Crisis Manager	General Manager	Meredith Wallace	0414 982 612
Crisis Manager (Alternate)	Director City Futures	Michael McCabe	0402 893 241
Emergency Response Coordinator	Manager People and Organisational Culture	Kristina Forsberg	0420 977 236
Emergency Response Coordinator (Alternate)	Manager Governance & Risk	Fausto Sut	0418 230 535
Communications Coordinator	Head of Communications & Events	Vince Carrabs	0416 173 705
Communications Coordinator (Alternate)	Coordinator Communications	Christine Stamper	0419 333 307
Business Recovery Coordinator	Director City Life	Debra Dawson	0401 148 920
Business Recovery Coordinator (Alternate)	Director City Performance	Michael Mamo	0400 223 706
IT Disaster Recovery Manager	Manager Information Technology	Robert Kolimackovski	0448 119 893
IT Disaster Recovery Manager (Alternate)	Application Specialist	Wendy Dillaway	9562 1895
Business Resumption Coordinator	Director City Presentation	Colin Clissold	0419 480 816
Business Resumption Coordinator (Alternate)	Manager City Works	Steve Poulton	0450 486 682
Local Emergency Management Officer (LEMO)	Manager City Works	Steven Poulton	0450 486 682
LEMO (Alternate)	Director City Presentation	Colin Clissold	0419 480 816

2.2 Roles and Responsibilities

The following is a list of general roles and responsibilities the *Crisis Manager* and Crisis Management Team would typically perform during an unscheduled disruption or major event. For immediate actions refer to the Business Impact Assessment Tool in Section 2.4.

Crisis Manager

The Crisis Manager provides leadership and oversees all business continuity activities during the emergency response, business recovery and business resumption phases.

Responsibilities include:

- decision-making including assessing the situation and declaring a crisis
- oversees coordination of each business continuity phase
- lead the CMT and oversee all business continuity activities
- ensure all teams are adequately resourced, including reallocation of CMT roles
- make key decisions regarding the affected site and crisis i.e. assessing severity of situation, relocation sites, financial expenditures and invoking plans etc.
- liaise with Bayside Council's Executive Leadership Team and Senior Management
- liaise with the Communication Manager to ensure the Crisis Communications Plan is implemented, ensuring status updates are provided to all key stakeholders and staff
- review and approve all messages and media releases
- activate the Crisis Command Centre
- decide who should remain at the Crisis Command Centre during the disruption
- chair regular meetings of the CMT
- direct the Emergency Recovery Coordinator to implement the activation procedure for alternate site/s
- ensure all teams are adequately resourced and reallocate resources if required
- facilitate approval for funds needed for business continuity and recovery operations
- request status updates from each member of the CMT on a regular basis
- ensure a task log is maintained

Emergency Response Co-ordinator

The Emergency Response Coordinator ensures the coordination of the immediate response to an emergency.

Responsibilities include:

- Pre-crisis: Be responsible for the actions of Floor Wardens and First Aid Officers
- attend the incident site and liaise with Building Manager / Chief Fire Warden and affected business units
- confirm that the safe and orderly evacuation of staff, visitors and members of the public has occurred
- confirm the welfare of staff, visitors and members of the public
- confirm that all staff accounted for at the Emergency Assembly Area
- ensure post-incident security of the site has been organised
- ensure premises is secured & protected against further loss
- liaise with the Stakeholder Communication Manager to ensure staff are updated

- conduct / co-ordinate site damage assessment
- liaise with the Stakeholder Communication Manager to facilitate liaison with third parties
- provide the CMT with regular status updates
- liaise with workers' compensation insurer
- liaise with medical service providers
- facilitate provision of post-incident medical assistance and trauma counselling and
- provide the CMT with regular status updates.

Communications Coordinator

The Communications Coordinator is responsible for managing all communication during a crisis/business continuity event.

Responsibilities include:
- activate the Crisis Communication Plan
- manage all communication with internal and external stakeholders, as approved by the Crisis Manager
- liaise with Director City Presentation, Director City Life and Manager City Infrastructure on initial and on-going media relations including preparation of media releases
- liaise with the CMT during each phase
- facilitate communication to staff
- facilitate communication to affected customers
- facilitate communication to affected suppliers
- manage on-going communications
- provide the Crisis Manager with regular status updates

Business Recovery Coordinator

The Business Recovery Coordinator ensures the coordination of recovery of Critical Business Functions.

Responsibilities include:
- liaise with the Building Manager and Emergency Response Coordinator to confirm loss of IT and communication capabilities
- activate the IT Disaster Recovery Plan
- as required, liaise with the IT Disaster Recovery Manager and Manager Customer Experience to activate the telephone diversion procedure
- conduct regular assessments of the impact of the disruption and determine the extent and severity of the disruption
- implement the activation procedure for the alternate site
- liaise with the IT Disaster Recovery Manager to ensure that information technology is configured and operational at the alternate site/s
- liaise with business unit Managers to reassess priorities and manage the recovery process for critical business functions
- deactivate the alternate site/s once business has resumed and
- provide the CMT with regular status updates

Information Technology (IT) Disaster Recovery Manager

The IT Disaster Recovery Manager is responsible for managing the recovery and reinstatement of all information technology and communication systems.

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Responsibilities include:
- liaise with the Emergency Response Coordinator to identify initial damage assessment of information technology and communication systems
- make key decisions regarding the IT capabilities and required action i.e. assessing severity of situation, relocation sites, major financial expenditures, invoking IT Disaster Recovery Plan
- activate relevant IT Disaster Recovery Plan (as required)
- co-ordinate IT personnel to restore IT infrastructure and network in line with IT DRP
- upon activation of alternate site, liaise with the Business Recovery Manager to arrange supporting IT at alternate site
- liaise with Building Manager to coordinate the recovery and resumption of IT and communication services and
- provide the CMT with regular status updates.

Business Resumption Coordinator

The Business Resumption Coordinator ensures the coordination of resumption of normal operations and return to business as usual.

Responsibilities include:
- liaise with Emergency Response Coordinator to identify when the estimated time of clearance will be provided to enter site for damage assessment
- liaise with Building Manager and IT Disaster Recovery Manager to facilitate cataloguing and removal of all damage equipment, files, fittings, fixtures etc
- liaise with the Business Recovery Coordinator and Building Manager to facilitate repairs, site relocation or rebuilding requirements;
- liaise with Building Manager to procure and purchase equipment / supplies to restore operations for the site;
- liaise with Building Manager to manage aspects of the restoration or rebuilding of any affected site;
- facilitate phased resumption of business operations;
- liaise with the Communication Coordinator to ensure key stakeholders are notified once business has resumed;
- for permanent loss of staff, assist affected business unit to create an action plan and commence the recruitment process; and
- provide the CMT with regular status updates.

Executive Leadership Team / Managers

Members of the ELT and Managers do not have a formal role in the Crisis Management Team. They do have a responsibility to support the CMT by facilitating the recovery of critical business functions within their business area.

Responsibilities include:
- confirm safety and wellbeing of all staff and members of the public
- report any injuries to the Emergency Response Coordinator
- if an incident occurs during working hours, assemble business unit staff
- assess business unit impacts and capabilities and provide status updates to Business Recovery Manager
- provide communication to staff under direction of Communication Coordinator and Business Recovery Coordinator

- upon notification from the Business Recovery Coordinator, activate response strategies
- manage the recovery process for the business unit to ensure critical business functions continue
- keep the CMT informed of activities within the business unit during the event

2.3 Immediate Crisis Actions

The following action list will assist the *Crisis Manager* to establish leadership, control and co-ordination during the early stages of an incident.

Step	Responsibility	Activity/Action/Task
1	-	Incident occurs
2	Chief Warden / Emergency Response Coordinator Crisis Manager	Notification received by *Crisis Manager* that incident has occurred and is being managed as per Emergency Response Plan with a disruption / potential for disruption to business.
3	Crisis Manager	Use Business Impact Assessment Tool (section 2.4) Identify whether: a) no action is required at this time (continue monitoring until resolved) b) to stay alert (reassess on a regular basis) or c) declare a crisis and enact business continuity plans.
4	Crisis Manager	If a crisis has been declared: ▪ Activate the CMT (section 2.1) ▪ Instruct Emergency Response Coordinator to confirm welfare of staff ▪ Activate the Crisis Command Centre (section 2.6)
5	CMT	Meet to: ▪ provide briefing on current situation ▪ assess potential impacts of the crisis and ▪ instigate communication to affected stakeholders (use Appendix A Crisis Communications Plan) that have activated BCP.
7	CMT	Progress to Section 3 – Business Recovery Plan.

2.4 Business Impact Assessment Tool

In most cases, the severity of the incident will be evident. The following tool can be used by the *Crisis Manager* during the early stages of an incident to assess its potential severity and determine a course of action.

Note: This tool should be used to assess the impact rating of an unscheduled disruption on business capabilities. Should persons be in danger or injured, immediate action must be taken.

Step 1: Rate and Score Impacts

1. For each of the five event questions, identify the *Impact Rating* and multiply by the *Impact Time Estimate*.
2. Transfer scores to the yellow column and total the *Incident Rating* column.

Description of event	Impact Rating				Downtime Estimation				Incident Rating
	No	Possible	Definite	Multiply	0-2 hours	2-6 hours	6-24 hours	24+ hours	
Are persons in danger?	0	2	4	X	1	2	3	5	
Have utilities including electricity, water, etc. been disrupted?	0	1	2	X	1	2	3	5	
Have ICT services been disrupted?	0	1	2	X	1	2	3	5	
Has the premises been rendered unusable?	0	1	4	X	1	2	3	5	
Is the threat from an external source?	0	1	3	X	1	2	3	5	
								Score =	

Step 2: Determine Response

Incident Rating	Description	Response
Score of 0 – 10	No Action	Monitor the situation until resolved.
Score of 11 – 20	Stay Alert	Reassess on a regular basis.
Score of 21 +	Crisis	Activate Crisis Centre and Business Continuity Plan.

Step 3: Consider other impact factors when deciding whether to declare a crisis

- likely causes of initial incident
- potential for injury and/or loss of life
- political and community impacts
- potential for further damage or loss to infrastructure and/or physical structures or
- potential follow-on environmental impacts.

Step 4: Declare a Crisis

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2.5 Activate the Crisis Management Team via Call Tree

Once a crisis has been declared by the Crisis Manager, members of the CMT should be notified. The Crisis Manager contacts each member of the CMT and ELT.

The Call Tree then operates by the ELT in turn contacting their managers who in turn contact their direct reports. Managers are responsible for maintaining staff contact numbers on a portable device.

2.6 Activate the Crisis Command Centre

Depending on the nature and severity of the disruption the Crisis Manager may choose a location for the CMT to work together to manage the response. In most events, the **Crisis Command Centre** is a physical location to ensure situation monitoring and coordinated response. In some circumstances a virtual meeting via web or teleconference may be appropriate.

Crisis Command Centre Site Options

Option 1 Bayside Administration Building	Option 2 Bexley Depot	Option 3 Mascot
2 Bryant Street Rockdale	10 Rye Avenue Bexley	
Site Contacts		
Designated Room:	**Robert Kolimackovski** **0448 119 893** **Designated Room:** Training Room	**Designated Room:**
Site Considerations		
• Meeting Rooms may be pre-booked by staff. • Committees have priority use of Meeting Room.	• IT Disaster Recovery site for ICT hosted at Bayside Administration building. IT may require Meeting room to implement DRP. • LEMC require Meeting Room for their Command Centre in the event of a disaster.	
Office Hours: Mon-Fri: 8am to 5pm **Operating Hours:** 6am-6pm **After Hours:**	**Office Hours:** Mon-Fri: 8am to 5pm **Operating Hours:** 6am-6pm **After Hours:**	
❏ Swipe Card ❏ Security Access Code ❏	❏	•

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The following minimum resources are required at a Crisis Command Centre location to enable the Crisis Management Team and key staff to operate:

- Conference / planning room
- 2 x PCs
- Internet access
- 1 x Multifunction printer / scanner / copier
- 4 x telephones (personal mobiles may be used)
- Whiteboard
- Stationary supplies (paper, pencils, pens, markers)
- Access to television / radio / news websites for situation monitoring

The Crisis Manager will determine whether the whole CMT is required to remain at the Crisis Command Centre and may call meetings of the CMT *throughout the duration* of the recovery phase. All CMT meetings, status reports and decision making should be documented.

The Crisis Manager will liaise directly with the Communication Coordinator to ensure communication with stakeholders *throughout the duration* of the recovery. The *Communication Plan* will be implemented by the Communication Coordinator.

2.7 Select Recovery Strategy

This tool is used by the CMT to determine which Recovery Strategy should be used if critical business functions are disrupted.

Type of Incident	Recovery Strategy in section 3
• Unplanned illness or injury • Unplanned leave/absence • Armed hold-up/kidnap • Sudden departure of key staff	#1 Loss of Key People / Staff
• Software or hardware failure • Attack by virus or hacker • ICT systems failure • ICT communications failure • Service provider error or failure • Minor or major fire in building damaging server room • ICT equipment theft, fraud, malicious tampering • Human error or negligence Minor or major fire in building • Smoke damage to server room • Water damage to server room • Security / access malfunction • Loss of power supply / electrical failure	#2 Temporary or Permanent Loss of IT / Communication Systems

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Type of Incident	Recovery Strategy in section 3
• Minor or major fire in building • Serious physical disaster • Terrorism incident • Smoke damage • Water damage • Minor or major fire in nearby precinct • Denial of access to premises • Receipt of suspicious mail • Security / access malfunction • Civil disturbance • Loss of power supply / electrical failure	#3 Denial of Access to Site (Building and / or Precinct) < 48 hrs #4 Denial of Access to Site > 48 hrs

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Section 3:

Business Recovery Plan

Contents:

3.1 Critical Business Functions
3.2 Implement Selected Recovery Strategies
3.3 Staff Relocation Schedule

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Section 3: Business Recovery Plan

The **Business Recovery Plan** is to be used in the event of a significant disruption to critical business functions.

3.1 Critical Business Functions

The following table lists the critical business functions supported by the Bayside Administration Centre identified during the business impact analysis and their Recovery time Objective (RTO). The RTO is based on avoiding the Maximum Tolerable Period of Disruption (MTPD) - the time it would take for an adverse impact, which might arise because of not providing a service or performing an activity, to become unacceptable.

Business Unit / Department	Critical Business Functions	Recovery Time Objective (RTO)
Information Technology	Business Technology Management	4 hours
Information Technology	Application Software Management	4 hours
Communications & Events	Social Platforms	6 hours
People & Organisational Culture	WHS & Workers Compensation	12 hours
City Infrastructure	Asset Infrastructure Inspections	12 hours
City Infrastructure	Traffic & Road Safety	12 hours
Communications & Events	Internal & External Communications	1 day
Communications & Events	Community & Civic Events	1 day
Executive Services	General Managers Office	1 day
Executive Services	Administrator / Mayoral Support	1 day
People & Organisational Culture	Human Resources Management	1 day
People & Organisational Culture	Payroll	1 day
Strategic Planning	Flood	1 day
City Infrastructure	Spatial & Asset Information	1 day
Property	Property Management	1 day
Property	Property & Venues	1 day
Customer Service	Libraries	1 day
Customer Service	Customer Service	1 day
Governance & Risk	Insurance Policy / Claims	1 day
Information Technology	Systems Administration	1 day
Development Services	Development Assessment	2 days
Certification	Building / Fire & Pool Certification	2 days
Certification	Principal Certifying Authority	2 days
Customer Service	Booking of Council facilities	2 days
Governance & Risk	IHAP	2 days
Governance & Risk	Records / Information Management / NAR	2 days
Major Projects Delivery	Major Project delivery	5 days
Major Projects Delivery	Contract Administration / Management	5 days
Strategic Planning	Natural Environment	5 days
Certification	Footway Trading	5 days
Finance	Accounts Payables	5 days
Finance	Rates & Revenue	5 days
Finance	Financial Management	5 days
Governance & Risk	GIPA	5 days

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This table is used by the Business Recovery Coordinator to assist in assessing and prioritising allocation of scarce resources. The Business Recovery Coordinator will ensure affected business units are contacted to determine extent of impact based on timing of disruption and availability of resources. This will enable adjustments to prioritisation and reallocation of resources.

3.2 Implement Selected Recovery Strategies

Following a disruption affecting Bayside Council's Administration Building, activation of an appropriate response strategy may be required to enable continuity of critical business functions.

The specific response strategy activated will depend on the Business Impact Assessment to be completed by the *Business Recovery Coordinator* as soon as possible after the disruption.

Specific response strategies have been developed for the following disruption scenarios / events affecting the Bayside Administration Precinct (Rockdale Customer Service Centre, Central Library and Bayside Administration Building):

1. Loss of **Key People / Staff**
2. Loss of critical **IT and / or Communication Systems** (data and/or voice)
3. Denial of Access to Site (Administration Building / Library and / or Precinct) < 48 hrs
4. Denial of Access to Site > 48 hrs (including permanent destruction)

Depending on the situation, a combination of these strategies may be required or in some minor cases, scaling back strategies as appropriate to the situation.

Ideally, the response strategies should be followed in chronological order. Depending on the situation, the *Crisis Management Team* may amend and modify the response strategies.

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Recovery Strategy #1 Loss of Key People / Staff

If the site will be **unavailable** for **less than 48 hours**, immediately **switch to Recovery Strategy #3**. If the site will be unavailable for **greater than 48 hours**, immediately switch to **Recovery Strategy #4**

Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
0-2 hrs	Meet and provide briefing on current situation to CMT. *Review full details of the recovery strategy and allocate tasks. Maintain Business Continuity Task Log.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy to identify timing for commencement of resumption strategy.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy.*

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
Post Briefing 0-2 hrs	*Receive and record status updates from CMT.* *Reassess the extent of the disruption using the Business Impact Assessment Tool (2.4)* with Emergency Recovery Coordinator. **If site is un-useable or unsafe**, immediately contact the Crisis Manager to activate: **Recovery Strategy #3 - Temporary Denial of Access to Site** or **Recovery Strategy #4 - Permanent Loss of Site (>48 hours).**	Attend the incident site and liaise with Building Manager/s and business units to determine whether the welfare of staff and members of the public has or may be impacted. Provide regular status update reports to Crisis Manager and liaise with the Communications Coordinator to ensure staff and key stakeholders are informed. **If a site evacuation has occurred or is planned for the site**, liaise with the Chief Warden, Emergency Response team to confirm: • the safe and orderly evacuation of staff and visitors • welfare of staff and members of the public and • the site has been secured, that appropriate security is in place at affected site. **If site is un-useable or unsafe, immediately contact the Crisis Manager to activate:** Recovery Strategy #3 - Temporary Denial of Access to Site or Recovery Strategy #4 - Permanent Loss of Site (>48 hours).	Liaise with Building Manager and Emergency Recovery Coordinator to confirm affected business units with loss of **staff** and their **capabilities** to perform business functions. Determine whether loss of staff is temporary or permanent. Advise Business Resumption if loss of staff is permanent. **If site evacuation has occurred**, confirm site accessibility with Emergency Recovery Coordinator and estimated time of re-entry. **If site evacuation has occurred**, liaise with Building Manager and Emergency Recovery Coordinator to assess the **phone answering capabilities** of the affected site. If required, liaise with IT DR Manager and Manager Customer Experience to activate the telephone diversion procedure to another site or after-hours provider. Review Critical Business Functions list and liaise with the affected Managers to determine affected functions. Provide regular status update reports to Crisis Manager.			Activate the *Crisis Communications Plan* and manage communication with stakeholders as directed by Crisis Manager. Provide regular status update reports to Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
2-4 hrs	*Receive and record status updates from CMT.* Ensure *Business Continuity Task Log* is maintained.	Notify the Risk and Claims Officer of any **damage to Council property or personal injury**. Notify the WHS of any **injury to staff or members of the public**. Liaise with Converge International to arrange for counselling to be available. Liaise with Building Manager and Chief Warden to obtain status updates whether site/or parts of the site are accessible and deemed safe. *Once site or parts of site are cleared and deemed safe for re-entry, business units to resume operations.* Provide regular status update reports to Crisis Manager.	Liaise with Managers to determine whether business functions can be covered by other staff within the business unit. As required, assist Managers to implement succession plans and determine whether business functions can be transferred to another business unit, support requested from SSROC, other Councils or temporary staff sourced from agencies.			Continue with *Crisis Communications Plan* to provide status updates to key stakeholders. Provide regular status update reports to Crisis Manager.
4-12 hrs	*Receive and record status updates from CMT.* Ensure *Business Continuity Task Log* is maintained. Progress to *Section 4 – Resumption Strategy #1*	Progress to *Section 4 – Resumption Strategy #1*	Confirm with Managers that recovery of critical business functions has occurred. Provide regular status update reports to Crisis Manager. Progress to *Section 4 – Resumption Strategy #1*	Once it has been confirmed that critical business functions have been recovered, progress to *Section 4 – Resumption Strategy #1*	Progress to *Section 4 – Resumption Strategy #1*	Progress to *Section 4 – Resumption Strategy #1*

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The following critical business functions have developed a response strategy for loss of staff.

Area	Business Unit / Department	Critical Business Functions	Loss of Staff Response Strategy
City Performance	Information Technology	Business Technology Management	Augmented by other staff within Information Technology and External contractors
City Performance	Information Technology	Application Software Management	Augmented by other staff within Information Technology and External contractors
General Managers Unit	Communications & Events	Social Platforms	GM directs content and support is sought from temporary hire market if required via Executive services and POC. Access permissions may be of concern.
General Managers Unit	People & Organisational Culture	WHS & Workers Compensation	Depending on emergency require WH&S due to key staff, if an available source via SSROC. StateCover (Workers Comp Insurer) would assist with administration
General Managers Unit	Communications & Events	Internal & External Communications	GM directs content and support is sought from temporary hire market if required via Executive Services and POC. Service would have to be provided by external contractor if truly urgent or delayed until crisis passes
General Managers Unit	Communications & Events	Community & Civic Events	Cancellation, Crisis communication via Social Media
General Managers Unit	Executive Services	General Managers Office	Directors EAs, specific staff within Council, Secretarial staff and the utilisation of agency staff where appropriate.
General Managers Unit	Executive Services	Administrator / Mayoral Support	Directors EAs, specific staff within Council, Secretarial staff and the utilisation of agency staff where appropriate.
General Managers Unit	People & Organisational Culture	Human Resources Management	Depending on nature of crisis utilisation of Agency Staff
General Managers Unit	People & Organisational Culture	Payroll	Payroll can be run on autopay. Re-send last payment file to bank.
City Life	Customer Service	Customer Service	Re-route calls to after hours call centre. Bring in casuals or temporary staff. Engage an external call centre.
City Performance	Governance & Risk	Insurance Policy / Claims	Matters referred to Claims Management Australia (CMA). Willis Towers Watson (Willis) and Civic Risk Mutual (CRM) to assist where required.
City Performance	Information Technology	Systems Administration	Augmented by other staff within Information Technology and External contractors
City Futures	Development Services	Development Assessment	Utilise Council's Planners staff and External Consultants
City Futures	Certification	Building / Fire & Pool Certification	Request assistance from other Councils as building inspectors are hard to get. Arrange for private certifiers to undertake swimming pool certification.
City Futures	Certification	Principal Certifying Authority	Request assistance from other Councils / private certifiers
City Performance	Governance & Risk	Records / Information Management / NAR	Utilise Customer Service Staff. Agency Staff or staff from another compatible Council, plus train other Council staff assist.
General Managers Unit	Major Projects Delivery	Contract Administration / Management	Identify critical payments and seek assistance of Procurement and Accounts Payable staff to ensure timely and proper processing. Major Projects would communicate with the Contractor to delay payments and contractual obligations where necessary
City Performance	Finance	Accounts Payables	Accounts Payable: as a contingency Council's credit card limit would be increased and expenses tracked and manage matter jointly with Council's Bank. Liaise with suppliers in time of crisis is critical.
City Performance	Finance	Rates & Revenue	Rates is a specialist and integral function in affect Council's "tax system" as such a resource share with another Council/SSROC member would be reached.
City Performance	Governance & Risk	GIPA	Another Staff member is already trained in this and can be utilised to ensure Statutory requirements are met.

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Recovery Strategy #2 Loss of Critical IT and / or Communication Systems

If the site will be **unavailable** for **greater than 48 hours**, immediately **switch to Recovery Strategy #4**.

Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
0-2 hrs	Meet and provide briefing on current situation to CMT. *Review full details of the recovery strategy and allocate tasks. Maintain Business Continuity Task Log.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy to identify timing for commencement of resumption strategy.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy.*
Post Briefing 0-4 hrs	*Receive and record updates from CMT.* Once initial damage assessment has occurred and estimate outage has been determined, reassess the extent of the disruption using the *Business Impact Assessment Tool (2.4).* If an extended downtime is anticipated (**> 48 hours**) determine whether to **activate Recovery Strategy #3 - Permanent Loss of Site (> 48 hours).**	Attend incident site and liaise with the IT Disaster Recovery Manager to identify initial damage assessment of information technology and communication systems. Notify Crisis Manager and Risk and Claims Officer of the **initial damage assessment** to **Council property and personal injury.** Provide regular status update reports to Crisis Manager and liaise with the Communications Coordinator to ensure staff and key stakeholders are informed.	Liaise with Building Manager and Emergency Recovery Coordinator to confirm loss of **IT and communication capabilities** and affected business units. As required, liaise with IT DR Manager and Manager Customer Experience to activate the telephone diversion procedure to another site or after-hours provider. Provide regular status update reports to Crisis Manager.		Liaise with Emergency Recovery Coordinator to identify initial damage assessment of information technology and communication systems. Determine estimated outage of IT and communication and advise Crisis Manager. If required, activate the IT Disaster Recovery Plan. Contact all ICT Team members to notify them of the situation and arrange to meet at the designated alternate ICT recovery site (Bexley Depot).	Activate the *Crisis Communication Plan* and manage communication with internal and external stakeholders as directed by Crisis Manager. *Once assessment of capabilities and estimated outage of IT and communication is determined, inform key stakeholders.* Provide regular status update reports to Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
4-6 hrs	*Receive and record status updates from CMT.* *Progress to Section 4 – Resumption Strategy #2*	*Progress to Section 4 – Resumption Strategy #2*	Confirm estimated outage of IT and communication with Information Technology Manager and request business units **to activate their responses plans / work around procedures** for those critical business functions under <48 hours. *Progress to Section 4 – Resumption Strategy #2*	*Progress to Section 4 – Resumption Strategy #2*	*Progress to Section 4 – Resumption Strategy #2*	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager. Progress to *Progress to Section 4 – Resumption Strategy #2*

The following critical business functions have developed response procedures for loss of IT. All other functions will wait for systems to be restored according to IT Disaster Recovery Plan.

Area	Business Unit / Department	Critical Business Functions	Loss of IT Response Strategy
General Managers Unit	Communications & Events	Social Platforms	Use personal mobile devices and internet / WI-FI. Wait for system recovery in line with IT DR Plan
General Managers Unit	People & Organisational Culture	Payroll	In the event that the payroll system is unavailable, the Manager of Finance will contact the bank and instruct them to pay all staff based on the most recent payroll. All time sheets will be stored at the Rye Avenue Depot Bexley and inputted retrospectively when the system becomes available again. Wait for system recovery in line with IT DR Plan

Item 5.6 – Attachment 1   69

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Recovery Strategy #3 Denial of Access to Site < 48 hrs

If the site will be unavailable for **greater than 48 hours**, immediately go to **Recovery Strategy #4**.

Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
0-2 hrs	Meet and provide briefing on current situation to CMT. *Review full details of the recovery strategy and allocate tasks.* Maintain Business Continuity Task Log.	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy to identify timing for commencement of resumption strategy.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy.*
Post Briefing 0-2 hrs	Receive and record status updates from CMT.	Attend the incident site and liaise with Building Manager, Chief Warden and Emergency Response team to confirm: • the safe and orderly evacuation of staff and visitors • welfare of staff and members of the public and • the site has been secured, that appropriate security is in place at affected site. Ensure all provide regular status update reports to Crisis Manager and liaise with the Communications Coordinator to ensure staff and key stakeholders are informed.	Liaise with Building Manager and Emergency Recovery Coordinator to confirm loss of **capabilities** and affected business units. As required, liaise with IT DR Manager and Manager Customer Experience to activate the telephone diversion procedure to another site or after-hours provider. Provide regular status update reports to Crisis Manager.		Liaise with Building Manager and Emergency Recovery Coordinator to confirm any loss of **IT and communication capabilities** and affected business units.	Activate the *Crisis Communications Plan* and manage communication with stakeholders as directed by Crisis Manager. Once estimated denial of access to site is determined, inform key stakeholders. Provide regular status update reports to Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
2-4 hrs	*Receive and record status updates from CMT.* Liaise with Emergency Recovery Coordinator to determine the most appropriate alternate site/s to cater for recovery of the critical business functions (up to 48 hrs). Direct Business Recovery Coordinator to implement the **activation procedure** for the **alternate site/s** for affected critical business functions (up to 48 hours).	Notify the Risk and Claims Officer of the **initial damage assessment to Council property and personal injury.** Liaise with Converge International to arrange for counselling to be available. Liaise with Building Manager and Chief Warden to obtain status updates whether site/or parts of the site are accessible and deemed safe. *Once site or parts of site are cleared and deemed safe for re-entry, business units to resume operations.* Provide regular status update reports to Crisis Manager.	Reconfirm with Emergency Recovery Coordinator re accessibility of the site / whether site or parts of site are deemed safe for staff to return to work. Review Critical Business Functions list and liaise with the affected Managers to determine affected functions. Liaise with Crisis Manager to determine the most appropriate alternate site/s to cater for recovery of the critical business functions (up to 48 hrs). Implement the **activation procedure for the alternate site** for affected critical business functions (up to 48 hours). Liaise with business unit managers to identify whether assistance organising transportation of staff to alternate site/s is required. Liaise with the IT Disaster Recovery Manager to arrange for configuration of information technology at the alternate site/s for affected critical business functions. Provide regular status update reports to Crisis Manager.		Once alternate site/s have been activated, liaise with Business Recovery Coordinator to arrange configuration of information technology at the alternate site/s for affected critical business functions. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
4-6 hrs	Reassess the extent of the disruption. If an extended downtime is anticipated (> 48 hours) determine whether to **activate Recovery Strategy #3 - Permanent Loss of Site** (> 48 hours). *Receive and record status updates from CMT.* Ensure *Business Continuity Task Log* is maintained.	Liaise with Building Manager and Chief Warden to obtain status updates whether site/or parts of the site are accessible and deemed safe. *Once site or parts of site are cleared and deemed safe for re-entry, business units to resume operations.* Provide regular status update reports to Crisis Manager.	Liaise with the IT Disaster Recovery Manager to arrange and configure information technology at the alternate site. Confirm seating arrangements and resource availability at alternate site. Instruct business units to **activate their strategies within their Recovery Plans** and to • relocate required staff to alternate site at the agreed time to continue critical business functions. • instruct non-critical staff to return / stay home until otherwise notified. As required, commence arrangements for transportation of staff to alternate sites. Provide regular status update reports to Crisis Manager.	Liaise with Emergency Recovery Coordinator to identify when likely time clearance will be provided to enter site to commence detailed assessment of **damage to Council property (excluding information technology and communication systems).** Provide regular status update reports to Crisis Manager.	Liaise with alternate site Building Manager to arrange to configure information technology at alternate site/s. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
6-12 hrs	*Reassess the extent of the disruption. If an extended downtime is anticipated (> 48 hours) determine whether to* **activate Recovery Strategy #3 - Permanent Loss of Site (> 48 hours).** *Receive and record status updates from CMT.* *Progress to Section 4 – Resumption Strategy #3*	Liaise with Building Manager and Chief Warden to obtain status updates whether site/or parts of the site are accessible and deemed safe. Once site or parts of site are cleared and deemed safe for re-entry, business units to resume operations. Provide regular status update reports to Crisis Manager. Progress to *Section 4 – Resumption Strategy #3*	Assist with the relocation of staff and business requirements to the alternate site/s. Liaise with alternate site Building Manager to ensure site induction occurs for all staff who are not familiar with the site. Confirm with Managers that recovery of critical business functions at alternate site has occurred. Provide regular status update reports to Crisis Manager. Progress to *Section 4 – Resumption Strategy #3.*	Once clearance to enter site for the purpose of planning resumption is provided, commence *Resumption Strategy #3.*	Ensure information technology is operational at the alternate site/s. Provide regular status update reports to Crisis Manager. Progress to *Section 4 – Resumption Strategy #3*	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager. Progress to *Section 4 – Resumption Strategy #3*

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Recovery Strategy #4 Denial of Access to Site > 48 hours

Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communication Coordinator
0-2 hrs	Meet and provide briefing on current situation to CMT. *Review full details of the recovery strategy and allocate tasks.* Maintain Business Continuity Task Log.	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy to identify timing for commencement of resumption strategy.*	*Review full details of the recovery strategy.*	*Review full details of the recovery strategy.*
Post Briefing 0-2 hrs	*Receive and record status updates from CMT.*	Attend the incident site and liaise with Building Manager, Chief Warden, Emergency Response team to confirm: • the safe and orderly evacuation of staff and visitors • welfare of staff and members of the public and • the site has been secured, that appropriate security is in place at affected site. Provide regular status update reports to Crisis Manager and liaise with the Communications Coordinator to ensure staff and key stakeholders are informed.	Liaise with Building Manager and Emergency Recovery Coordinator to confirm loss of **capabilities** and affected business units. As required, liaise with IT DR Manager and Manager Customer Experience to activate the telephone diversion procedure to another site or after-hours provider. Provide regular status update reports to Crisis Manager.		Liaise with Emergency Recovery Coordinator to commence detailed damage assessment of **information technology and communication systems**. If required, activate the IT Disaster Recovery Plan. Provide regular status update reports to Crisis Manager.	Activate the *Crisis Communications Plan* and *Crisis Communication Strategy* - Manage communication with stakeholders as directed by Crisis Manager. *Once estimated denial of access to site is determined, inform key stakeholders.* Provide regular status update reports to Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communication Coordinator
2-4 hrs	*Receive and record status updates from CMT.* Liaise with Emergency Recovery Coordinator to determine the most appropriate alternate site/s to cater for recovery of the critical business functions (up to 48 hrs). Direct Business Recovery Coordinator to implement the **activation procedure** for the alternate site/s for affected critical business functions (up to 48 hours).	Notify the Risk and Claims Officer of any **damage to Council property or personal injury**. Notify the Health & Safety Program of any **injury to staff or members of the public**. Liaise with Converge International to arrange for counselling to be available. Liaise with Building Manager and Chief Warden to obtain status updates whether site/or parts of the site are accessible and deemed safe. *Once site or parts of site are cleared and deemed safe for re- entry, business units to resume operations.* Provide regular status update reports to Crisis Manager.	Reconfirm with Emergency Recovery Coordinator re accessibility of the site / whether site or parts of site are deemed safe for staff to return to work. Review Critical Business Functions list and liaise with the affected Managers to determine affected functions. Liaise with Crisis Manager to determine the most appropriate alternate site/s to cater for recovery of the critical business functions (up to 48 hrs). Implement the **activation procedure for the alternate site/s** for affected critical business functions (up to 48 hours). Liaise with business unit managers to identify whether transportation of staff to alternate site/s is required. Liaise with the Information Technology Manager to arrange for configuration of information technology at the alternate site/s for affected critical business functions. Provide regular status update reports to Crisis Manager.		Once alternate site/s have been activated, liaise with Business Recovery Coordinator to arrange configuration of information technology at the alternate site/s for affected critical business functions. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communication Coordinator
4-6 hrs	Reassess the extent of the disruption using the *Determine the Extent of the Disruption Tool (1.1)*. *Receive and record status updates from CMT.* Ensure *Business Continuity Task Log* is maintained.	Liaise with Building Manager and Chief Warden to obtain status updates whether site/or parts of the site are accessible and deemed safe. *Once site or parts of site are cleared and deemed safe for re- entry, business units to resume operations.* Provide regular status update reports to Crisis Manager.	Liaise with the Information Technology Manager to arrange and configure information technology at the alternate site for affected critical business functions. Confirm seating arrangements and resource availability at alternate site. Instruct business units to **activate their strategies within their Recovery Plans** and • relocate required staff to alternate site at the agreed time to continue critical business functions. • instruct non- critical staff to return / stay home until otherwise notified. As required, commence arrangements for transportation of staff to alternate sites. Provide regular status update reports to Crisis Manager.		Liaise with Alternate Building Manager to arrange to configure information technology at alternate site/s. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communication Coordinator
6-12 hrs	Reassess the extent of the disruption using the Determine the Extent of the Disruption Tool (1.1). Receive and record status updates from CMT.	Liaise with Building Manager and Chief Warden to obtain status updates whether site/or parts of the site are accessible and deemed safe. Once site or parts of site are cleared and deemed safe for re- entry, business units to resume operations. Provide regular status update reports to Crisis Manager.	Assist with the relocation of staff and business requirements to the alternate site/s. Liaise with alternate site Building Manager to ensure site induction occurs for all staff who are not familiar with the site. Confirm with Managers that recovery of critical business functions at alternate site has occurred. Provide regular status update reports to Crisis Manager.		Ensure information technology is operational at the alternate site/s. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager.
12-24 hrs 24-48 hrs	Reassess the extent of the disruption using the Determine the Extent of the Disruption Tool (1.1). Receive and record status updates from CMT. Progress to Section 4 – Resumption Strategy #4	Liaise with Building Manager and Chief Warden to obtain status updates whether site/or parts of the site are accessible and deemed safe. Once site or parts of site are cleared and deemed safe for re- entry, business unites to resume operations. Provide regular status update reports to Crisis Manager. Progress to Section 4 – Resumption Strategy #4	Confirm with IT Disaster Recovery Manager remote working capacity to support staff working from home on non-critical functions. Prioritise access to remote network capacity and communicate advise business unit Managers. Progress to Section 4 – Resumption Strategy #4	Liaise with Emergency Response Coordinator to identify when likely time clearance will be provided to enter site to commence detailed assessment of **damage to Council property (excluding information technology and communication systems)**. Provide regular status update reports to Crisis Manager. Once cleared to enter site for the purpose of planning resumption, commence Business Resumption Strategy #4.	Assess remote access capacity to allow staff from non-critical functions to work from home. Liaise with Business Recovery Coordinator to ensure availability capacity is utilised. Progress to Section 4 – Resumption Strategy #4	Continue with Crisis Communication Plan. Provide regular status update reports to the Crisis Manager. Progress to Section 4 – Resumption Strategy #4

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3.3 Staff Relocation to Alternate Site

Following a major disruption to the Bayside Administration Centre, there may be up to 320 displaced staff.

Upon activation of the **Business Recovery Plan**, the Business Recovery Coordinator, under the direction of the Crisis Manager, will provide instruction to business unit managers for relevant staff to relocate to the alternate site (refer to sequence of events for the selected Recovery Strategy).

The IT capability for remote working provides substantial bandwidth capacity therefore there is currently no technical limitation on working from home, if staffs' personal equipment (PCs and internet) is utilised. This means that it is anticipated that all staff for all business functions (critical and non-critical) will be able to log in and work from home.

If limitations were identified staff the Business Recovery Coordinator would triage system and network access to a minimum number of staff to deliver critical business functions to a basic level.

Staffing Relocation Schedule by Business Unit

Crisis Command Centre / IT Disaster Recovery Site		Number of Staff
City Performance	Information Technology	17
General Managers Unit	Communications & Events	2
City Presentation	City Works	2
City Futures	Director	1
City Life	Director	1
City Performance	Governance & Risk	4
General Managers Unit	People & Organisational Culture	1
General Managers Unit	Executive Services	3
		31

This is essentially the *Crisis Management Team* and additional ICT Support. The Project Management team and other non-critical functions may be spilled to provided resources at Bexley Depot.

Alternate Location - Home		Number of Staff
General Managers Unit	Communications & Events	13
General Managers Unit	People & Organisational Culture	23
City Futures	City Infrastructure	35
General Managers Unit	Executive Services	6
City Futures	Property	10
City Performance	Governance & Risk	26
City Futures	Development Services	43
City Futures	Certification	14
General Managers Unit	Major Projects Delivery	1
City Performance	Procurement	2
		173

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Alternate Location - Other		Number of Staff	Other Location
City Life	Libraries	45	Distribute across Branch Libraries
City Life	Customer Service	20	Eastgardens Customer Service Centre
City Performance	Finance	22	Depot or Library
City Futures	Strategic Planning	20	Depot or Library
City Performance	Procurement	3	Depot or Library
		110	

In the event insufficient seats or equipment are available the *Business Recovery Coordinator* will consider multiple shifts to facilitate maximum usage of available resources. Rostering may be required to ensure staff can continue to run the critical business activities and ICT systems and applications until the crisis is declared over.

In the event of an extended disruption, staff may be required to be rostered to work until all backlogged work is complete as deemed necessary by the *Business Recovery Coordinator* until normal business arrangements resume.

Note: Whilst some business units have nominated depot or library as an alternate location this recovery strategy has not been pre-planned therefore work from home may be required until set up arranged.

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Section 4:

Business Resumption Plan

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Section 4: *Business Resumption Plan*

The **Business Resumption Plan** contains a series of actions and steps designed to return Bayside Council's business to its pre-interruption status. This includes restoration or relocation of facilities and equipment and resumption of operations to maximum capacity. The **Business Resumption Plan** should commence as soon as possible after activation of the **Business Recovery Plan** without interfering with critical tasks or diverting key personnel from the initial recovery process.

Resumption Strategy # 1 Loss of Key People / Staff

Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
4-12 hrs	Receive and record status updates from CMT. Ensure *Business Continuity Task Log* is maintained.			Liaise with affected business units and Human Resources to create an action plan to replace a permanent loss of **staff** and reassess their **capabilities (established by Business Recovery)** to perform business functions in the interim. Assist affected business units to commence recruitment of permanent staff to replace staff as required. Provide regular status update reports to Crisis Manager.		Continue with *Crisis Communications Plan* to provide status updates to key stakeholders. Provide regular status update reports to Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
1 week +	Receive and record status updates from CMT. Ensure *Business Continuity Task Log* is maintained.			Liaise with affected business units to facilitate an action plan (short term and long term) to replace a permanent loss of **staff** and reassess their **capabilities (established by Business Recovery)** to perform business functions in the interim. Assist affected business units to commence recruitment of permanent staff to replace staff as required. Provide regular status update reports to Crisis Manager.		Continue with *Crisis Communications Plan* to provide status updates to key stakeholders. Provide regular status update reports to Crisis Manager.
Site is reinstated	Receive and record status updates from CMT. Ensure *Business Continuity Task Log* is maintained.			Confirm with Managers that positions have been filled and business has returned to normal operation. Liaise with the Communications Coordinator to ensure key stakeholders are notified that all key positions have been filled and business has been returned to normal operation.		Once confirmed by Business Resumption Coordinator, notify stakeholders that all key positions have been filled and business has been returned to normal operation. Provide regular status update reports to the Crisis Manager.

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Resumption Strategy #2   Loss of Critical IT and / or Communication Systems

Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
4-6 hours	*Receive and record status updates from CMT.*			Liaise with Building Manager and IT Disaster Recovery Manager to facilitate: • cataloguing and removal of any damaged equipment, software and requirements. • approval of replacement equipment, software and requirements. Provide regular status update reports to Crisis Manager.	Coordinate the resumption of IT and communication services and liaise with Building Manager and Business Resumption Coordinator. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communication Plan. Provide regular status update reports to Crisis Manager.
6-12 hrs	*Receive and record status updates from CMT.*			Provide a detailed list of items to Risk and Claims Officer. Provide regular status update reports to Crisis Manager.	Coordinate and monitor progress of all information technology recovery activities. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communication Plan. Provide regular status update reports to Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
12-48 hrs IT / Comms restored	*Receive and record status updates from CMT.*			Confirm with and IT Disaster Recovery Manager that installation of replacement equipment and testing and advise Crisis Manager. If required, liaise with and IT Disaster Recovery Manager to deactivate the telephone call diversions. Upon reinstatement of site, liaise with the Communications Coordinator to ensure all business unit representatives and other key stakeholders are notified that information technology and communication systems have returned to operational use.	Coordinate installation of replacement equipment and testing. Provide regular status update reports to Crisis Manager.	Continue with Communication Plan. Once confirmed by the Information Technology Manager, notify key stakeholders that information technology / communication has been restored to operational use. Provide regular status update reports to Crisis Manager.

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Resumption Strategy #3 Denial of Access to Site < 48 hrs

Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
6-12 hrs Once clearance provided	*Receive and record status updates from CMT.*			Activate *Business Resumption Strategy* **once clearance provided.** Liaise with Emergency Recovery Coordinator and Building Manager to facilitate cataloguing and removal of any damaged files, fittings, fixtures, equipment, software and other requirements. Take photographs (or videotape) of damaged and undamaged facilities, infrastructure, etc. Provide detailed list to Risk and Claims Officer. Provide regular status update reports to Crisis Manager.	Liaise with the Building Manager and Business Resumption Coordinator in relation to reinstatement of information technology and communication at affected site.	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager.
12-24 hrs	*Receive and record status updates from CMT.*			Liaise with the Building Manager to identify and facilitate repair requirements and/or rectification of site including consultation with contractors for initial estimate of the scope and cost of repairs. Liaise with Building Manager to facilitate approval for procurement of replacement files, fittings, fixtures,	Liaise with Business Resumption to commence reinstatement of information technology and communication at affected site. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
				equipment, software and other requirements. Liaise with Building Manager and business unit managers affected to ensure all site and business unit needs are met.		
24-48 hrs Once site reinstated	*Receive and record status updates from CMT.*		Upon reinstatement of site, **assist with the relocation of staff from the alternate site/s** back to the site/s for resumption of normal business operations. **Deactivate alternate site** and resume normal operations. Provide regular status update reports to Crisis Manager.	Confirm with Building Manager that site repairs / rectification works are certified /approved and that the site may be reinstated. Upon reinstatement of site, liaise with the Communications Coordinator to ensure all business unit representatives and other key stakeholders are notified that site has returned to operational use. Confirm with business unit managers that staff have been relocated back to normal sites from alternate site. Provide regular status update reports to Crisis Manager.	Confirm reinstatement of information technology and communication at site.	Once confirmed by Business Resumption Coordinator notify key stakeholders that the site has been restored to operational use, staff have returned from alternate sites and business has returned to normal operations. Provide regular status update reports to the Crisis Manager.

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Resumption Strategy #4 Denial of Site > 48 hours

Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
72 hrs Site clearance	Receive and record status updates from CMT. Ensure Business Continuity Task Log is maintained.			Activate *Business Resumption Strategy* **once clearance provided.** Liaise with Incident Response, Building Manager and Administration Branch (Corporate Procurement) to facilitate cataloguing and removal of any damaged files, fittings, fixtures, equipment, software and other requirements. Take photographs (or videotape) of damaged and undamaged facilities, infrastructure, etc. Provide detailed list to Risk and Claims Officer. When deemed safe, retrieve any damaged and undamaged files, equipment and property from the office site to minimise loss. Provide regular status update reports to Crisis Manager.	Liaise with the Building Manager and Business Resumption Coordinator in relation to reinstatement of information technology and communication at affected site.	Continue with Crisis Communications Plant and develop program of regular communication to staff and other stakeholders to update them on progress of business resumption. Provide regular status update reports to the Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
Site repaired, or rectification occurs	*Receive and record status updates from CMT.* *Ensure Business Continuity Task Log is maintained.*			Liaise with the Building Manager to identify and facilitate repair requirements and/or rectification of site including consultation with contractors for initial estimate of the scope and cost of repairs. If site is not able to be reinstated, commence action planning for short term and long-term replacement site e.g. leasing new premises, rebuilding site. Liaise with Administration Branch (Corporate Procurement) and Building Manager to facilitate approval for procurement of replacement files, fittings, fixtures, equipment, software and other requirements. Liaise with Building Manager and business unit Managers affected to ensure all site and business unit needs are met.	Liaise with Business Resumption Coordinator to commence reinstatement of information technology and communication at affected site. Provide regular status update reports to Crisis Manager.	Continue with Crisis Communications Plan. Provide regular status update reports to the Crisis Manager.
Site is reinstated	*Receive and record status updates from CMT.* *Ensure Business Continuity Task Log is maintained.*		Upon reinstatement of site, **assist with the relocation of staff from the alternate site/s** back to the site/s for resumption of normal business operations. **Deactivate alternate site** and resume normal operations. Provide regular status update reports to Crisis Manager.	Confirm with Building Manager that site repairs/rectification works are certified/approved and that the site may be reinstated. Upon reinstatement of site, liaise with the Communications Coordinator to ensure all business unit representatives and other key stakeholders are notified that site has returned to	Confirm reinstatement of information technology and communication at site.	Once confirmed by Business Resumption Coordinator, notify key stakeholders that the site has been restored to operational use, staff have returned from alternate site and business has returned to normal operations. Provide regular status update reports to the Crisis Manager.

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Timing Guide	Crisis Manager	Emergency Recovery Coordinator	Business Recovery Coordinator	Business Resumption Coordinator	IT Disaster Recovery Manager	Communications Coordinator
				operational use. Confirm with business unit managers that staff have been relocated back to normal sites from alternate site. Provide regular status update reports to Crisis Manager.		

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Appendix A Crisis Communication Plan

In the event of a crisis being declared, the Crisis Manager will request the Communications Coordinator to activate this plan.

Crisis Communication

The Communications Coordinator is responsible for managing the communication during a crisis. All contact from the media must be directed to the Communications Coordinator.

Disseminating information and media statements

The Communications Coordinator will be responsible for the collection and collation of all information required to communicate the status of the disruption to both staff and the community. It is imperative that all information released must first be sighted and approved by the Communications Coordinator and the Crisis Manager.

The following procedures should be followed as soon as possible:

- ensure all relevant information is available
- liaise with Council's Manager Customer Experience and provide written briefing notes clearly outlining the information they can provide to the community.
- draft holding statements and key messages: these messages will be distributed to the media as required
- nominate and brief the media spokesperson (Crisis Manager). This is the person the media will be able to direct questions to and interview for media opportunities
- draft and issue media release/statements: Once the appropriate message has been written and approved by relevant stakeholders, the Communications Coordinator will issue to the media.
- liaise with relevant stakeholders, including ensuring that credible external authorities e.g. (NSW Police, NSW Fire and Rescue, NSW SES etc) are available / provide a credible source of information, relevant to the nature of the interruption, when communicating with stakeholders
- upload all relevant and approved information and messages to Council's website and initiate Council's social media avenues including Facebook and Twitter to further disseminate Council's agreed position
- draft a concise fact sheet with Crisis Manager - upload to Council's website, use in social media platforms and be make available for media enquiries and to Customer Service staff
- ensure staff receive initial and ongoing communication and

Crisis Communication Strategy

1. **Determine appropriate stakeholder/s**

Stakeholder
Chief Executive Officer, Directors
Mayor and Councillors
Managers
Other Key Staff
All staff (via Call Tree)
Media
Suppliers
Community
Other Key External Contacts

2. **Create Communication Strategy including method, frequency and message**

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Consideration	Communication Options	
Methods of communication	- Face-to-face briefings - E-mail - Internet - Website updates - Establish 1300 number / telephone message - Social media updates - Twitter / Facebook - Provision of media blast /messages including newspaper/TV /radio announcements - Premises signage - Staff Call Tree - SMS to staff mobile phones or recorded message service - Intranet (staff)	
Sample frequency of communication	- Day 1 - Days 2 to 7 - Week 2 - Week 3 - Week 4	- Update every 3 hours or as required - Updates 3 times per day or as required - Updates morning and afternoon or as required - Update once per day or as required - Updates once per day or as required
Suggested messages	**Day 1:** Overview of incident and extent of damage Staff safety and welfare Actions currently being implemented and actions to be implemented Message of encouragement and other key information **Days 2 to 7:** Update on staff safety and welfare Update on recovery actions Key actions to be implemented going forward **Week 2+:** Status of recovery operations Update on any key people issues including recovery and welfare of injured or displaced staff	

3. Develop messages

Staff Call Tree Activation Message/Email/SMS Alert Procedure
- Prepare message to be provided to all staff (site affected / site not affected) for approval by Crisis Manager
- Confirm with Crisis Manager to enact Call Tree Procedure.
- Commence Intranet message alerts
- Organise for recorded message service

Media Communication Procedure
- Prepare Media Release
- Prepare on hold telephone message for disruption to business
- Prepare on hold telephone message for resumption of operations
- Prepare business disruption website message

Customers and Suppliers Procedure
- Retrieve customer / supplier contact details including full name and email addresses
- Prepare and send email to affected customers and customise with current date, nature of the incident and recovery timeframes
- Prepare and send email to affected suppliers and customise with current date, nature of the incident and recovery timeframes

Twitter & Facebook Account Procedure

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Social media, including Facebook and Twitter, can and should be used as an additional or secondary means of communication in a crisis or disruption scenario.

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Communications Templates
Customer Email Template

<insert date>

Dear <insert customer>

Important notice affecting Council

On the <insert date> Council experienced <insert brief description of incident>. This incident means <insert affected site> will be closed for a short period of time.

To ensure that you continue to receive the highest level of service, the Bayside Council Business Continuity Plan has been activated to assist with a prompt recovery of our operations. In addition, any updates regarding the re-opening of our office will be advised on our website www.bayside.nsw.gov.au

The Eastgardens Customer Contact Centre is currently unaffected by this incident. Should you wish to contact a Council Customer Service Representative, please call
<insert number>.

We apologise for any inconvenience and thank you for your patience and understanding. We will contact you again when our office is once again operational.

Yours faithfully

<insert name>
<insert title>

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Supplier Email Template

<insert date>

Dear <insert supplier>

Important notice affecting Bayside Council

On the <insert date> Bayside Council experienced <brief description of incident> at <insert address>.

This incident means <insert affected site> will be closed for a short period of time.

All key business functions of the <insert affected site> will remain operational from our temporary location at <insert alternate site address>.

We expect this incident to have minimal impact on our dealings with your organisation, however, please do not hesitate to contact <insert name and number> should you have any concerns.

We apologise for any inconvenience and thank you for your patience and understanding. We will contact you again when <insert affected site> once again operational.

Yours faithfully

<insert name>
<insert title>

Example Media Release / Statement Text

<insert date>

Disruption to Bayside Council Site

Bayside Council today reported a disruption to <insert affected site>, located in <insert location>.

The cause of the <inert disruption> is unknown and is being investigated by the <insert relevant body>..

<insert name> spokesperson for Council advises that "Council has activated its Business Continuity Plan to ensure a prompt recovery of our operations".

Furthermore <insert name> stated, "There will be minimal service disruption anticipated for Council customers."

It is expected that the services will resume within <insert number of hours> hours from the time of the disruption.

Further notices and any relevant information will be communicated accordingly.

Key Contact:
<insert name>
<insert title>
<insert phone numbers - business, mobile and after hours>
<insert email address>

Example Media Release / Statement Text

<insert date>

General Manager provides update on Bayside Council <insert disruption> disruption

General Manager <insert name> joined <insert title> <insert name> and <insert title> <insert name> on <insert day> to provide an update on the City's efforts to resolve a <insert disruption>.

General Manager <insert name> provided an update on Council operations and precautionary measures employees and customers should take while the Bayside Council works to restore critical services.

"The safety and security of our employees and customers remains our top priority. We are working around the clock to work through this <insert disruption>. and we ask for your patience as we implement business continuity measures," General Manager <insert name> said. "I want to thank the <insert Council department> and my senior team, for their hard work and focus on this issue."

While some services are disabled as the Council works to resolve this incident, business continuity measures have been implemented.

Details on available Council services are as follows:

Community Safety

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- <insert detail of services that remain available, any limitations and alternatives>
- Community safety measures remain in operation.
- Compliance enforcement requests are still being processed.

Customer Service

- <insert detail of services that remain available, any limitations and alternatives>
- Customer Service is available at the Eastgardens Customer Contact Centre.

Libraries Services

- <insert detail of services that remain available, any limitations and alternatives>
- Services are available at other libraries across Bayside Council area.

Community Services

- <insert detail of services that remain available, any limitations and alternatives>
- Services are available at other libraries across Bayside Council area.

City Works

- <insert detail of services that remain available, any limitations and alternatives>

Procurement

- No significant impacts on tenders are anticipated.
- Contracts will continue to be processed and the department continues to work.

Development Services

- <insert detail of services that remain available, any limitations and alternatives>
- No significant operational impacts at this time.
- The Department is able to process permits and fees. They are also conducting inspections.
- Development inspections and certifications assignments are slower, but operational.

Waste and Cleansing

- <insert detail of services that remain available, any limitations and alternatives>
- Solid waste pick-up is on schedule.
- No other operations are affected.
- Parks and open spaces are operating per normal.

Human Resources

- Applications for new employment are suspended.

Parks and Open Space

- <insert detail of services that remain available, any limitations and alternatives>
- No operational impacts.
- The Department is manually reviewing permits and event applications.

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Key Contact:
<insert name>
<insert title>
<insert phone numbers - business, mobile and after hours>
<insert email address>

Disruption On-hold Telephone Message

We are currently experiencing a high volume of calls and apologise for the delay in answering your enquiry. Your call is important, and a Bayside Council Customer Services Representative will be with you shortly. Thank you for your patience.

<optional insert 'Any updates regarding the re-opening of our office will be advised on our website www.bayside.nsw.gov.au>

Note: This copy could change if, because of the event, a decision is made to extend office hours or telephone hours to handle extra enquiries and/or another office is opened for customers to use.

Resumption of Operations On-hold Telephone Message

Bayside Council Customer Service Centre is again operational, and we apologise for any inconvenience caused. Your call is important, and a Bayside Council Customer Services Representative will be with you shortly. Thank you for your patience.

Business Disruption Website Message

Important information for all Customers - Disruption to normal service

Due to <insert reason> our office at <insert affected site> is closed for <insert time frame>.

Your cooperation and understanding would be appreciated, while we are overcoming this temporary setback to our normal service.

Please keep returning to our website as we will provide updates as they are known. Full details on how you can contact us will also be updated.

Appendix B Stakeholder Contact Details

Executive Leadership Team

General Manager	Meredith Wallace	0414 982 612	
Director City Life	Debra Dawson	0401 148 920	
Director City Performance	Michael Mamo	0400 223 706	
Director City Presentation	Colin Clissold	0419 480 816	
Director City Futures	Michael McCabe	0402 893 241	

Mayor and Councillors

Mayor	Bill Saravinovski	0412 139 068	
Councillor Rockdale Ward	Petros Kalligas	0417 079 860	
Councillor Rockdale Ward	Andrew Tsounis	0401 268 888	
Councillor Bexley Ward	Joe Awada	0438 223 600	
Councillor Bexley Ward	Liz Barlow	0417 490 882	
Councillor Bexley Ward	Ron Bezic	0412 898 256	
Councillor Port Botany Ward	Christina Curry	0417 242 506	
Councillor Port Botany Ward	Scott Morrissey	0419 551 556	
Councillor Port Botany Ward	Paul Sedrak	0416 200 034	
Councillor Botany Bay Ward	Ed McDougall	0419 413 132	
Councillor Botany Bay Ward	James MacDonald	0434 140 530	
Councillor Botany Bay Ward	Vicki Poulos	0416 206 608	
Councillor Mascot Ward	Tarek Ibrahim	0434 140 530	
Councillor Mascot Ward	Michael Nagi	0403 222 666	
Councillor Mascot Ward	Dorothy Rapisardi	0408 354 718	

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Business Unit Managers (by Directorate)

General Managers Unit			
Manager Executive Services	Liz Rog	0407 070 910	Liz.Rog@bayside.nsw.gov.au
Head of Communications & Events	Vince Carrabs	0416 173 705	
Major Projects Director	Karin Targa	0402 278 084	
Manager People and Organisational Culture	Kristina Forsberg	0420 977 236	

City Futures			
Manager Certification	Phoebe Mikhiel	0420 374 129	
Manager City Infrastructure	Jeremy Morgan	0435 658 433	
Manager Development Services	Luis Melim	0411 440 010	
Manager Property	Samantha Urquhart	0417 115 824	
Manager Strategic Planning	Clare Harley	0404 163 594	

City Life			
Manager Compliance	Michael Azzi	0412 389 645	
Manager Customer Experience	Angela Hume	0488 009 619	
Manager Recreation and Community Services	Hayla Doris	0418 826 055	

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City Presentation			
Manager City Works	Steve Poulton	0450 486 682	
Coordinator Civil Works	Bryce Spelta	0412 455 068	
Manager Parks and Open Spaces	Kyle Jamieson	0409 674 642	
Manager Waste & Cleansing	Joe Logiacco	0401 779 951	
Coordinator Facilities & Properties Maintenance	John Dahmen	0416 280 133	
Nursery Manager	Michael Byrnes	0419 601 853	
Executive Officer Presentation	Tracy Moroney	0411 220 694	Tracy.moroney@bayside.nsw.gov.au

City Performance			
Manager Finance	Matthew Walker	0448 106 795	
Manager Governance & Risk	Fausto Sut	0418 230 535	
Manager Information Technology	Robert Kolimackovski	0448 119 893	
Manager Procurement	Bobbi Mayne	0421 706 005	

Media Contacts

Communications & Events maintain an extensive media contact list for local radio, metro radio, print and television.

Local Government

SSROC	02 8396 3800	Namoi Dougall	General Manager
Georges River Council	02 9330 6400		

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Business Continuity Plan - Bayside Council

Business Continuity Plan - Bayside Council

Other Key External Contacts / Suppliers

Service	Provider	Contact	
Employee counselling	Converge International - Council's Employee Assistance Program - Can be contacted 24 hours per day	1300 687 327	https://www.convergeinternational.com.au/
Liability Insurance Advice	Civic Risk Mutual	Andrew Armistead 1300 837 493 0417 236 981	enquiry@civicriskmutual.com.au
Claims management	Claims Management Australia	1300 133 903 Ian Barker Tony Hatgis 0409 904 216	ianb@claimsmanagers.com.au tonyh@claimsmanagers.com.au
Insurance Broker	Willis Towers Watson	Shane Redman 9285 4143 0407 438 886	shane.redman@willistowerswatson.com
After Hours Customer Service	Welldone	Rebecca Murphy 4422 2222	rebecca.murphy.csr@welldone.com.au

Key External IT Contacts / Suppliers

Name	Organisation	Support Contact No.	Account Number	Account Manager	Mobile	Email	Key Bayside Primary / Secondary Contacts
Virtualization Platforms (CORE INFRASTRUCTURE)	VMWare						
GOVDC (Key DataCenter)	IQ3						
Network Service Porvider	TPG BigAir						

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Business Continuity Plan - Bayside Council

Name	Organisation	Support Contact No.	Account Number	Account Manager	Mobile	Email	Key Bayside Primary / Secondary Contacts
	Somerville						
Phone System	UXC TalkWare						
Operating System and Database Platform	Microsoft						
Networking Infrastructure	Cisco						
Backup Infrastructure	VEAM						
DR Datacenter	VOCUS						
CRM System (New)	INFOR (Pathway)						
CRM System (old)	AUTHORITY (Civica)						
EDRMS	TRIM						
Councillor Portal	Aten Systems						
Telecommunications Provider	Telstra						
Public Web Site	BulletProof						
Hardware Provider	Lenovo / IBM						
Financial Platform	TechOne						
HR System	iCHRIS						
Land Map ping Software	Intramaps						
Depot Fuel System	DataFuel						
Infringement System	Pinforce						

Risk & Audit Committee   **23/08/2018**

Item No	5.7
Subject	**Liability Claims Performance Overview**
Report by	John Hughes, Coordinator Risk Management
File	F08/85

Summary

This report informs the Risk & Audit Committee of the current litigated claims matters against Council with accompanying claims statistics and graphs detailing claims and notified incidents reported to Council over the last five (5) years.

Officer Recommendation

That the report be received and noted.

Background

Council currently has five (5) litigated matters and one further matter that continues as a potential for litigation.

Plaintiff "A"

This claim is a trip and fall at a Telstra pit covered with plywood sheet but within a Council footpath. The matter is legally complex and has progressed to the District Court with action taken against Council and Telstra. Council has filed a defence and various cross claims have been filed e.g. Telstra against Council and Ivison Constructions Pty Ltd (Ivison) the builder on the adjacent property; Council in turn has filed a cross-claim against Ivison.

The Parties have been ordered to mediation in the first instance prior to a four (4) day hearing set down for November if it cannot be vacated by mediation.

The matter is listed as ongoing and the Reserve is set very conservatively at $75,000, largely due to the matter being set down for a lengthy hearing and prior mediation. Costs to date are $14,065.

Plaintiff "B"
Current Status
The claimant's lawyers issued a GIPA request to Council seeking information regarding the slide at Botany Aquatic Centre. Access was provided to most of the information with some redactions and some withheld on the basis of legal professional privilege. The claimant's lawyers has lodged an internal review of Council's determination and that is currently being processed by the Manager Governance & Risk.

The slide was scheduled to be demolished commencing on 1 July 2018. Contracts for demolition were executed by Council on 23 July 2018 and the work is now complete.

A Civic Risk Mutual reserve of $250,000 has been recommended of which Council's deductible contribution will be $100,000. $26,112 has been expended to date in this matter.

Background

The claimant was allegedly knocked unconscious after striking his head as he rode down the Green Slide at the Botany Aquatic Centre. On legal advice Council has denied liability and represented via Claims Management Australasia (CMA) lawyers McCulloch & Buggy (M&B) that the slides were diligently maintained and properly operated.

As part of the process, a viewing of the slides was undertaken on 23 May 2018. B attended in person together with his solicitor and David Dubos, engineer. Council's expert, Luke Murphy, was present together with Doris Lum and other representatives of Council and Mr Richard Oldfield of M&B.

The Slide has been shut down for some time and could not be made operational for the view. Accordingly, Mr Dubos was only able to observe and photograph the structure and signage. Mr Murphy has expressed the opinion that the central issues relate to the flow rate used on the Slide. He says the records indicate Council installed a new pump and flow meter and it was after this that the occurrence of injury incidents increased. The ultimate source of the information relied on by Council in setting the flow rate is unclear. The important question is likely to be whether, when faced with the increase in incidents, Council responded in an adequate fashion. It remains to be seen whether Mr Dubos has enough information to identify a potential issue with the flow rates.

It was observed that B did not show any obvious sign of significant head injury.

Plaintiff "C"

C allegedly struck his head on the Green Slide at the Botany Aquatic Centre and suffered from swelling and bruising. C is represented by Firth's lawyers who submitted an offer of $30,000. Firth's have expressed the view that they would like the matter to be informally settled. Matter has been referred to CMA who have requested medical reports and details of out-of-pocket expenses before Council can consider the offer further.

On 28 February 2018, hospital clinical notes were forwarded to CMA "for information purposes only" and Claimant's solicitor indicated it is likely a Statement of Claim would follow. To date no Statement of Claim has been served and the matter remains dormant.

The matter is listed as ongoing. A reserve of $10,000 has been approved and expenditure to date is $417.

Plaintiff "D"

The claimant, D, is represented by AM Legal Compensation Lawyers has issued a Statement of Claim alleging negligence on behalf of Council as a result of a fall on an unidentified stretch of allegedly misaligned kerbing within Cook Park on New Year's Eve Celebrations 31 December 2014 at 7.30pm.

The matter was reported to Council in 2015 (no report made at the time of the incident) but the claim and allegations are vague e.g. injuries range from fractured left foot, injury to both knees and resultant anxiety and depression. Council has requested details on many occasions from her Solicitor but this has not been forthcoming and the matter remains dormant.

The matter is listed as ongoing. A reserve of $40,000 has been approved and expenditure to date, $3,362.

Plaintiff "E"

The plaintiff is seeking unspecified financial damages for alleged injuries sustained from an umbrella propelled by wind at the Botany Aquatic Centre in January 2015. The matter is being defended and has been subject to investigation by an external investigator appointed by CMA. Some delays in progressing medical evidence are unavoidable due to circumstances beyond our control.

Based on CMA legal advice, Council's Solicitors have been instructed to offer to settle the matter with each side bearing its own costs.

The matter remains listed as ongoing and has not progressed in the last quarter.

The recommended reserve has been reduced from $75,000 to $20,000 in consultation with CMA due to the "significant liability and credit *(credibility)* hurdles the claimant faces".

Therefore, the reserve stands at $20,000 with expenditure to date of $5,093.

Plaintiff "F" (CROSS CLAIM – COUNCIL 2ND DEFENDANT)

Council is listed as a second defendant on this matter, where the claimant alleges he tripped and fell on a steel ramp which is owned by the IGA Bexley. After an initial complaint against Council, ownership of the ramp was identified to be with IGA Bexley. This was discovered by Council's Compliance Officer when they investigated the complaint which Council received soon after the incident.

Council has been subpoenaed to produce documents but the scope of the subpoena has been contested by Council's solicitors. The matter has not progressed in the last quarter and remains listed as ongoing. The reserve stands at $40,000 and expenditure to date is $3,548.

Industrial Special Risk Claims

The only reported incidents this quarter have been:

- Property damage to a Council fence hit by a third party motor vehicle where Council is recovering directly from the third party's insurer and Council is carrying out the repairs itself.

- Vandal damage to shade cloth sails where damage repair costs were approximately $200 less than the $5,000 excess of the ISR property damage cover. No claim was lodged and no Police report was made of the damage to Council Property.

Holistic Claims Summary

The following graphs depict claims and notifications as received by Council over a five (5) year insurance policy year period which is 1 November to 31 October. The historical data consolidates available claims and notifications histories of the former Councils. The insurance *year to date* for 2017 captures claims from 1 November 2017 up to 30 June 2018.

All liability claims categories are exhibiting a stable or declining trend.

In prior reports, Professional Indemnity was impacted by a single claim for $70,000 in the 2016 policy year relating to the Ramsgate Town Centre project. The claim has been closed in consultation with CMA Australia. The claim has been reversed in the statistics as in law it was not against Council but against a third party (the builder of the Ramsgate Town Centre Project). Furthermore, no formal statement of claim eventuated.

Claims Statistics

2017 is a part year and contains new claims but no provision for IBNR (Incurred But Not Received) claims.

1   Last Quarter at a Glance

In the preceding quarter, a total of 32 viable notifications and claims have been received.

Claim Type	Number	Claim Value
Golf ball damage	9	$5,971
Personal Injury*	6	$9,857
Tree roots	8	$7,980
Professional Indemnity	1	$433
Other Property Damage	8	$79,001
Total	**32**	**$103,242.00**

2   Total Claims Summary

Pool Year	Claims	Category	Claims	Amount Settled	Number Settled	Amount Outstanding	Number Outstanding	Amount Denied	Number Denied
2013	22	Third Party Personal Injury	105,265.00	22,550.95	22	78,514.05	7	4,200.00	14
2013	106	Third Party Property	125,167.66	31,065.82	105	19,461.86	13	74,639.98	37
2013	27	Tree Roots	80,414.97	6,652.00	26	40,638.10	6	33,124.87	9
2013	1	Professional Indemnity	1,000.00	-	1	1,000.00	1	-	0
2014	40	Third Party Personal Injury	188,618.25	15,711.05	40	162,907.20	10	10,000.00	6
2014	136	Third Party Property	161,514.06	89,200.05	136	25,903.38	7	46,410.63	48
2014	27	Tree Roots	102,620.30	19,080.60	27	45,265.00	5	38,274.70	10
2014	0	Professional Indemnity	-	-	-	-	0	-	0
2015	56	Third Party Personal Injury	160,235.95	89.00	56	156,146.95	29	4,000.00	27
2015	133	Third Party Property	103,133.50	40,560.24	132	27,245.00	26	35,328.26	35
2015	12	Tree Roots	56,104.50	16,076.50	12	7,829.00	4	32,199.00	4
2015	2	Professional Indemnity	1,000.00	-	2	1,000.00	1	-	0
2016	44	Third Party Personal Injury	141,310.00	26,839.04	42	99,470.96	18	15,000.00	25
2016	85	Third Party Property	102,308.79	14,697.96	83	21,832.83	13	65,778.00	32
2016	6	Tree Roots	21,402.25	3,539.25	6	15,961.00	1	1,902.00	2
2016	0	Professional Indemnity	-	-	0	-	0	-	0
2017	22	**Third Party Personal Injury**	19,715.50	1,715.50	17	8,000.00	8	10,000.00	9
2017	47	**Third Party Property**	104,110.09	12,434.13	35	33,286.00	6	58,389.96	25
2017	6	**Tree Roots**	18,975.00	-	4	8,350.00	1	10,625.00	4
2017	0	**Professional Indemnity**	-	-	0	-	0	-	0
Totals	**772**		**1,492,895.82**	**300,212.09**	**746**	**752,811.33**	**156**	**439,872.40**	**287**

3   Total Claims Incurred

Over all, claims are declining with intensive triage and improved customer response meaning fewer customer requests are converting into claims incurred. Third party property damage claims have remained steady, with tree claims and personal injury claims observably decreasing for the last three years.
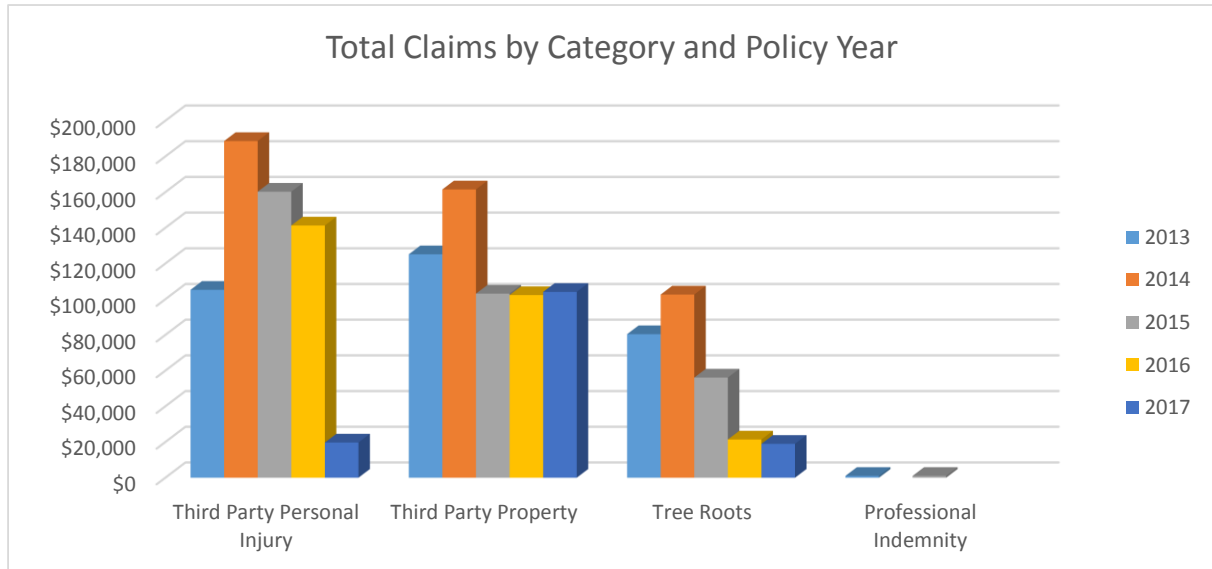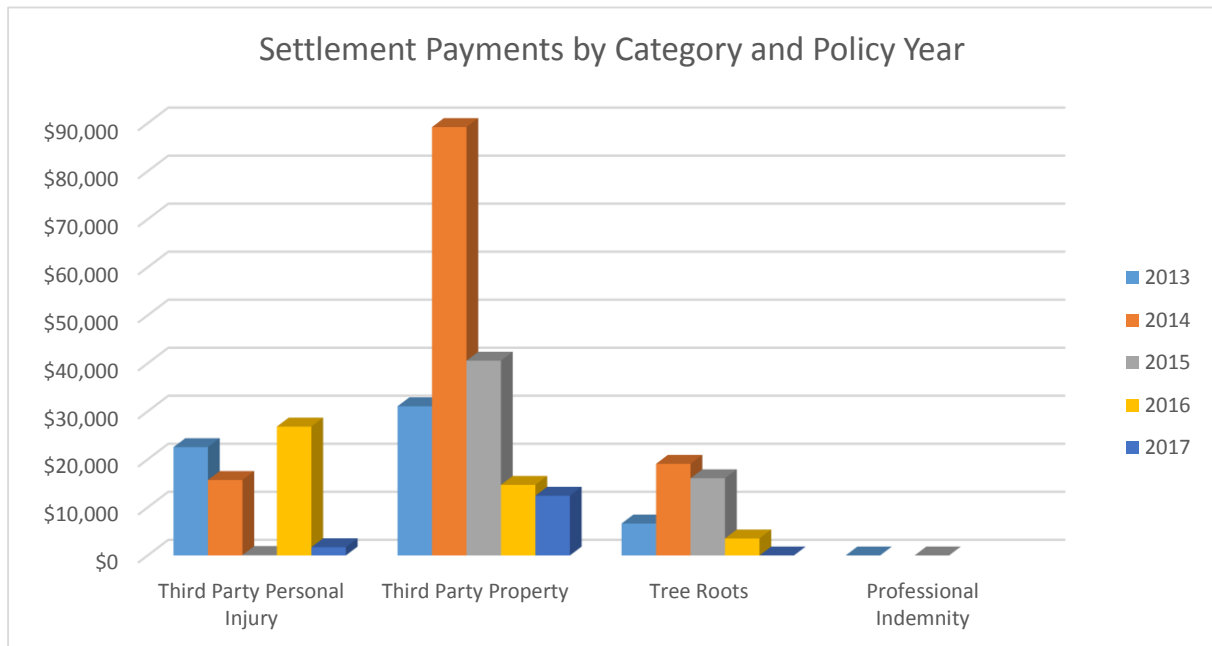

Count of Amount Claimed	Policy Year					
Claim Type	2013	2014	2015	2016	2017	Grand Total
Third Party Personal Injury	22	40	56	43	19	180
Third Party Property	106	136	133	84	42	501
Tree Roots	27	27	12	6	5	77
Professional Indemnity	1		2			3
Grand Total	**156**	**203**	**203**	**133**	**66**	**761**

Sum of Amount Claimed	Policy Year					
Claim Type	2013	2014	2015	2016	2017	Grand Total
Third Party Personal Injury	105,265.00	188,618.25	160,235.95	141,310.00	19,715.50	615,144.70
Third Party Property	125,167.66	161,514.06	103,133.50	102,308.79	104,110.09	596,234.10
Tree Roots	80,414.97	102,620.30	56,104.50	21,402.25	18,975.00	279,517.02
Professional Indemnity	1,000.00		1,000.00			2,000.00
Grand Total	**311,847.63**	**452,752.61**	**320,473.95**	**265,021.04**	**142,800.59**	**1,492,895.82**

4   Claim Settlements

As with overall claims, settlement payments are continuing to observe a declining trend as depicted below.

Count of Amount Settled	Policy Year					
Claim Type	2013	2014	2015	2016	2017	Grand Total
Third Party Personal Injury	22	40	56	42	17	177
Third Party Property	105	136	132	83	35	491
Tree Roots	26	27	12	6	4	75
Professional Indemnity	1		2			3
Grand Total	**154**	**203**	**202**	**131**	**56**	**746**

Sum of Amount Settled	Policy Year					
Claim Type	2013	2014	2015	2016	2017	Grand Total
Third Party Personal Injury	22,550.95	15,711.05	89.00	26,839.04	1,715.50	66,905.54
Third Party Property	31,065.82	89,200.05	40,560.24	14,697.96	12,434.13	187,958.20
Tree Roots	6,652.00	19,080.60	16,076.50	3,539.25	-	45,348.35
Professional Indemnity	-		-			-
Grand Total	**60,268.77**	**123,991.70**	**56,725.74**	**45,076.25**	**14,149.63**	**300,212.09**

5   Claim Denials

All new claims are investigated on merit and denied unless a compelling case for Council liability is presented supported by appropriate evidence. Where prudent, notwithstanding denial of liability, notification of a claim to Civic Risk Mutual and/or CMA may be made to preserve Council's interest under policies of insurance. The data has been historically kept in such a way that partial settlements and denials of liability have not been separately identified in the reporting. This will be revised in the next quarter to improve granularity.


Claims Denied by Category and Policy Year
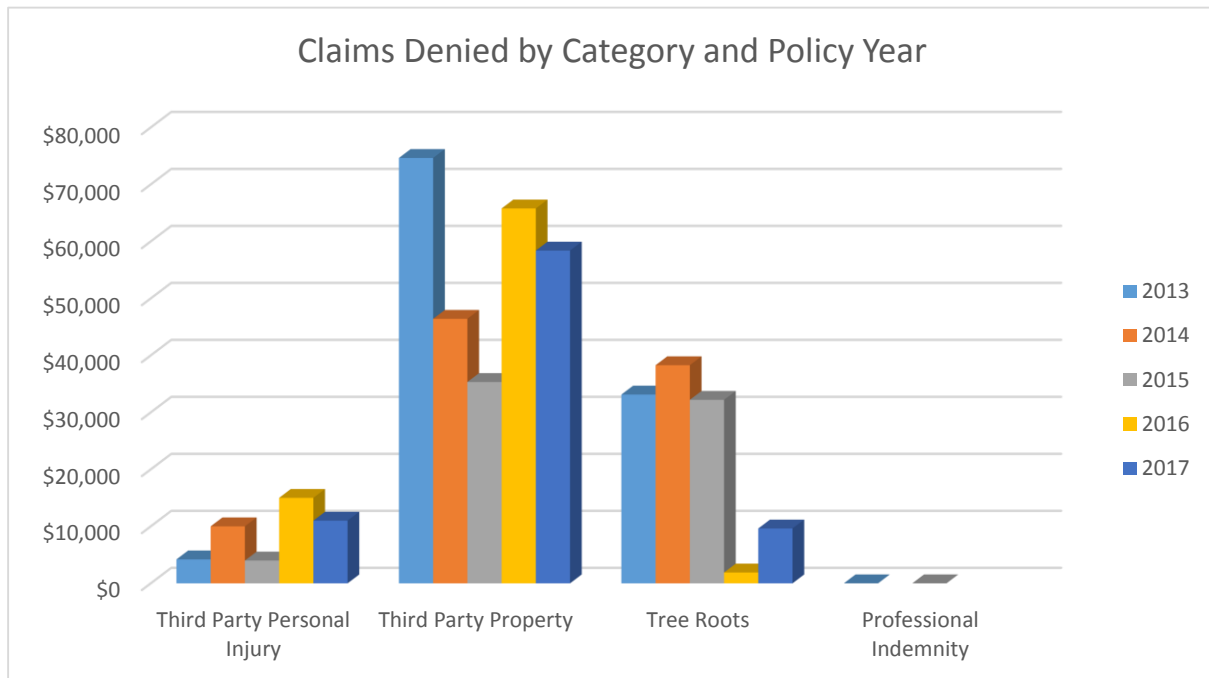
Count of Denied

Claim Type	2013	2014	2015	2016	2017	Grand Total
Third Party Personal Injury	14	6	27	25	9	81
Third Party Property	37	48	35	32	25	177
Tree Roots	9	10	4	2	4	29
Professional Indemnity	0	0	0	0	0	0
	60	**64**	**66**	**59**	**38**	**287**

Sum of Amount Denied	Policy Year					
Claim Type	2013	2014	2015	2016	2017	Grand Total
Third Party Personal Injury	4,200.00	10,000.00	4,000.00	15,000.00	10,000.00	43,200.00
Third Party Property	74,639.98	46,410.63	35,328.26	65,778.00	58,389.96	280,546.83
Tree Roots	33,124.87	38,274.70	32,199.00	1,902.00	10,625.00	116,125.57
Professional Indemnity	-		-			-
Grand Total	**111,964.85**	**94,685.33**	**71,527.26**	**82,680.00**	**79,014.96**	**439,872.40**

6   Claims Outstanding

Outstanding claims also depict the declining trend in all reported categories except Third Party Property, which is adversely affected by a claim of $16,500 reported in June for driveway damage on private property which is likely to be denied by Council.

Outstanding Claims by Category and Policy Year
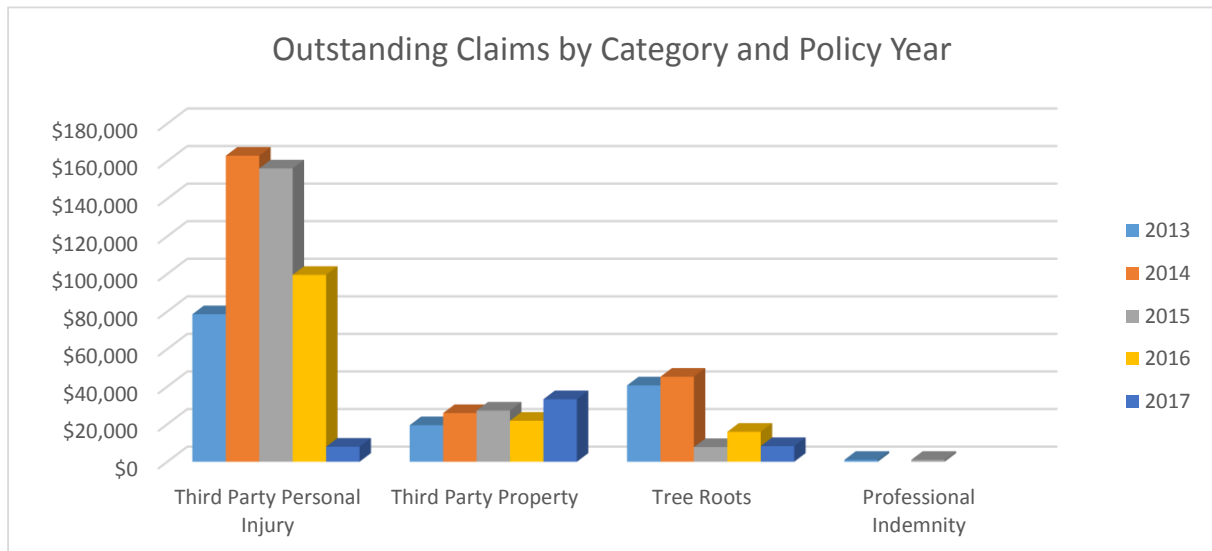
Count of Outstanding						
Claim Type	2013	2014	2015	2016	2017	Grand Total
Third Party Personal Injury	7	10	29	18	8	72
Third Party Property	13	7	26	13	6	65
Tree Roots	6	5	4	1	1	17
Professional Indemnity	1	0	1	0	0	2
	27	**22**	**60**	**32**	**15**	**156**

Sum of Amount Outstanding	Policy Year					
Claim Type	2013	2014	2015	2016	2017	Grand Total
Third Party Personal Injury	78,514.05	162,907.20	156,146.95	99,470.96	8,000.00	505,039.16
Third Party Property	19,461.86	25,903.38	27,245.00	21,832.83	33,286.00	127,729.07
Tree Roots	40,638.10	45,265.00	7,829.00	15,961.00	8,350.00	118,043.10
Professional Indemnity	1,000.00		1,000.00			2,000.00
Grand Total	**139,614.01**	**234,075.58**	**192,220.95**	**137,264.79**	**49,636.00**	**752,811.33**

Attachments

Nil