
**Council Policy
Enterprise Risk Management
2025**

ADOPTED BY COUNCIL <ENTER DATE>

1. PURPOSE

The purpose of this policy is to express Uralla Shire Council's commitment to implementing organisation-wide risk management principles, systems and processes that ensure the consistent, efficient, and effective assessment of risk in all Uralla Shire Council's planning, decision making and operational processes.

2. APPLICATION


Uralla Shire Council aims to create a positive risk management culture where risk management is integrated into all everyday activities and managing risks is an integral part of governance, good management practice and decision-making. It is the responsibility of all Councillors and every staff member and business area to observe and implement this policy and Uralla Shire Council's risk management framework.

3. POLICY INTENT

The main objectives of this policy are to:

- To ensure Uralla Shire Council is effectively managing its risk and complying with its statutory obligations, Uralla Shire Council's audit, risk and improvement committee and internal audit function is responsible for reviewing Uralla Shire Council's:
- risk management processes and procedures
- risk management strategies for major projects or undertakings
- control environment and insurance arrangements
- business continuity planning arrangements, and
- fraud control plan

4. COMMUNITY STRATEGIC PLAN OBJECTIVES

Pillar	Goal	Objective
 Independent	An independent shire and well governed community	A strategic, accountable and representative Council

5. POLICY

Uralla Shire Council provides critical services and infrastructure to the residents, ratepayers, and visitors to its Shire. Council also has service agreements and contractual obligations with government and non-government agencies and organisations and has its own strategic goals and objectives that it seeks to achieve on behalf of the Uralla community.

Council is committed to developing an understanding of the internal and external risks that may impact the delivery of these services, contracts and strategic objectives and have processes in place to identify, mitigate, manage, and monitor those risks to ensure the best outcome for our Council, staff and the community. It is also our responsibility to ensure the efficient, effective, and ethical use of resources and services by ratepayers, residents, staff and visitors.

Uralla Shire Council is committed to the principles, framework, and process of managing risk as outlined in the Standard and commits to fully integrating risk management within the Uralla Shire Council and applying it to all decision-making, functions, services and activities of the Uralla Shire Council in accordance with our statutory requirements.

6. LEGISLATIVE REQUIREMENTS

Local Government Act 1993, the Local Government (General) Regulation 2021
Work Health and Safety Act 2011 (NSW) and Regulation 2017 (NSW)

7. REVIEW

This Policy will be reviewed annually from the date of each adoption of the policy, or more frequently as required to ensure it continues to meet the requirements of the Local Government Act 1993, the Local Government (General) Regulation 2021, and the governing body's requirements.

8. REPORTING

Quarterly risk reports will be provided to MANEX, and the Audit Risk and Improvement Committee based on the risks and associated risk ratings identified in the Corporate Risk Register.

An annual risk report will be presented to the Governing Body detailing the current risk profile (based on the Corporate Risk Register) and, organisational risk management development initiatives.

9. RESPONSIBLE OFFICER

The Responsible Officer for this Policy is the Manager Governance with the functions in relation to the policy being:

- Keeping the policy current
- Investigating breaches and enforcing compliance
- Implement communications, education and monitoring of strategies.
- Providing a point of contact about the meaning and application of the policy.

10. ROLES AND RESPONSIBILITIES

Risk management is a core responsibility for all senior staff/management at Uralla Shire Council. In addition to their responsibilities as staff members, senior staff/management are responsible for:

- ensuring all staff manage their risks within their own work areas. Risks should be anticipated, and reasonable protective measures taken.
- encouraging openness and honesty in the reporting and escalation of risks
- ensuring all staff have the appropriate capability to perform their risk management roles.
- reporting to the General Manager and the Audit Risk & Improvement Committee on the status of risks and controls, and
- identifying, communicating, and implementing improvements in Uralla Shire Council's risk management practices to function.

All Councillors and staff are responsible for identifying and managing risk within their work areas. Key responsibilities include:

- being familiar with, and understanding, the principles of risk management
- complying with all policies, procedures and practices relating to risk management
- alerting management to risks that exist within their area, and
- performing any risk management activities assigned to them as part of their daily role.

Uralla Shire Council's risk management function is available to support staff in undertaking their risk management activities.

11. RELATED PROCEDURES

- AS/NZS ISO 31000:2018 Risk Management - Principles and Guidelines Risk Management Guidelines and Procedures
- Guidelines for Risk Management and Internal Audit for Local Government in NSW issued under section 23A of the Local Government Act 1993
- Audit Risk & Improvement Committee terms of reference
- All Policies

APPROVAL & REVIEW

Responsible Business Unit	<i>Corporate & Community</i>	
Responsible Officer	<i>Manager Governance</i>	
Date Adopted & Resolution No#	<i><enter date></i>	<i><enter resolution No# ></i>
Date of Next Review	<i>April 2026</i>	
Content Manager Reference	<i>UINT/25/9728</i>	

Document History of previous adoptions

Version Reference No#	Date Amended	Details/Comments eg Resolution No.
Version 1	22 September 2014	Resolution No.: 300/14
Version 1.1	4 April 2018	New draft Policy for consideration by the Audit, Risk and Improvement Committee at meeting 10 April 2018
Version 1.2	11 April 2018	Modifications from Audit, Risk and Improvement Committee for public exhibition - Council Meeting 24 April 2018.
Version 2	24 April 2018	Resolution No.: 19.04/18
Version 3	September 2020	Renamed and amended Policy supporting the Enterprise Risk Management Framework 30.10/20
Version 3.1	September 2022	Revised layout Policy supporting the Enterprise Risk Management Framework 30.10/20 (policy content unchanged; document administration update: legislative references; version control numbering corrected, document owner updated).
<i>Version 3.2</i>	<i>April 2025</i>	Policy updated to reflect the Office of Local Government Guidelines for Internal Audit & Risk Management template policy. Referred to Council for endorsement for Public Exhibition 11.04/25
<i>Version 4</i>		<i>Adoption by Council</i>