



CONSIDERATION OF PRINCIPLES OUTLINED BY THE LOCAL GOVERNMENT ACT 2020

Principle	Comment
Governance and Strategic Principles (section 9)	
Council decisions are to be made and actions taken in accordance with the relevant law	The risk management policy is guided by the principles outlined under the Act and the requirement to appoint an Audit and Risk Committee under section 53.
Priority is to be given to achieving the best outcomes for the municipal community, including future generations	The policy aims to provide a summary of our enterprise risk management strategy and embed proactive risk management practices into our organisational culture and day to day operations. This, in turn, ensures that Council operations can continue to deliver services and functions for the community.
The economic, social and environmental sustainability of the municipal district, including mitigation and planning for climate change risks, is to be promoted	Proactive risk management supports the economic, social and environmental sustainability of the municipality through identifying risks, including climate change impacts, and implementing measures and controls to actively manage and mitigate these risks across all Council operations.
The municipal community is to be engaged in strategic planning and strategic decision making	There is no significant impact on this principle, however where relevant community members and stakeholders will be consulted in identifying risks and possible risk management strategies/controls.

Principle	Comment
Governance and Strategic Principles (section 9)	
Innovation and continuous improvement is to be pursued	One of the objectives of the policy is to instil a continuous improvement culture across the organisation through risk identification, management and monitoring. Continuous improvement is supported by the Audit and Risk Committee and internal/external audit program.
Collaboration with other Councils and Governments and statutory bodies is to be sought	Collaboration around risk management is through external audit processes, including the Victorian Auditor General's Office (VAGO), liaising with other councils around their risk management activities and controls and through independent community representatives on the Audit and Risk Committee.
The ongoing financial viability of the Council is to be ensured	One of the key strategic risks is financial viability. Financial oversight is a key role of the Audit and Risk Committee, the Executive Management Team and Council. External audits by VAGO ensures external oversight around council's finances.
Regional, state and national plans and policies are to be taken into account in strategic planning and decision making	The risk management policy and framework is informed by international standards, Australian standards and other risk management frameworks and practices of other levels of government in a broad sense.
The transparency of Council decisions, actions and information is to be ensured	Transparency is gained through reports to the Audit and Risk Committee, which then flow through to public Council meeting agendas and discussion at Council. The risk management policy will be published on Council's website so it accessible to the broader public.
Community Engagement Principles (section 56)	
A community engagement process must have a clearly defined objective and scope	The policy outlines that consultation with stakeholders and community members will be undertaken in the identification and management of risks where appropriate.
Participants in community engagement must have access to objective, relevant and timely information to inform their participation	The policy outlines clear roles and responsibilities.
Participants in community engagement must be representative of the persons and groups affected by the matter that is the subject of the community engagement	The policy outlines that consultation with stakeholders and community members will be undertaken in the identification and management of risks where appropriate. Consultation with external parties to Council will be dependent on the nature of the risk and the controls required.

Principle	Comment
Community Engagement Principles (section 56)	
Participants in community engagement are entitled to reasonable support to enable meaningful and informed engagement	The policy outlines clear roles and responsibilities and sets out Council's risk management approach to enable informed decision making and engagement.
Participants in community engagement are informed of the ways in which the community engagement process will influence Council decision making	The policy outlines clear roles and responsibilities and sets out Council's risk management approach to enable informed decision making and engagement.
Public Transparency Principles (section 58)	
Council decision making processes must be transparent except when the Council is dealing with information that is confidential by virtue of this Act or any other Act	Transparency is gained through reports to the Audit and Risk Committee, which then flow through to public Council meeting agendas and discussion at Council. The risk management policy will be published on Council's website so it accessible to the broader public.
Council information must be publicly available unless— (i) the information is confidential by virtue of this Act or any other Act; or (ii) public availability of the information would be contrary to the public interest	Transparency is gained through reports to the Audit and Risk Committee, which then flow through to public Council meeting agendas and discussion at Council. The risk management policy will be published on Council's website so it accessible to the broader public
Council information must be understandable and accessible to members of the municipal community	Transparency is gained through reports to the Audit and Risk Committee, which then flow through to public Council meeting agendas and discussion at Council. The risk management policy will be published on Council's website so it accessible to the broader public
Public awareness of the availability of Council information must be facilitated	Transparency is gained through reports to the Audit and Risk Committee, which then flow through to public Council meeting agendas and discussion at Council. The risk management policy will be published on Council's website so it accessible to the broader public
Strategic Planning Principles (section 89)	
A Council must undertake the preparation of its Council Plan and other strategic plans in accordance with the strategic planning principles	The strategic risk register and enterprise risk management framework informs the development of the Council Plan. It is noted that an action was included in Year 1 of the 2021-25 Council Plan around the finalisation of the strategic risk register, which was completed in July this year.
An integrated approach to planning, monitoring and performance reporting is to be adopted	Regular reporting on the strategic risk register and internal audit recommendations and implementation to the ELT, Council and Audit and Risk Committee.

Principle	Comment
Strategic Planning Principles (section 89)	
Strategic planning must address the Community Vision	There are no significant impacts on this principle.
Strategic planning must take into account the resources needed for effective implementation	Risk management plays a role in identifying key issues and challenges and the resources needed to support risk mitigation, which in turn informs broader strategic planning.
Strategic planning must identify and address the risks to effective implementation	The strategic risk register, this risk policy and the Enterprise Risk Management Framework inform strategic planning and risk identification.
Strategic planning must provide for ongoing monitoring of progress and regular reviews to identify and address changing circumstances.	The risk management policy supports creating a culture of regular monitoring, review and agility to changing circumstances/unexpected events.
Financial Management Principles (section 101)	
Revenue, expenses, assets, liabilities, investments and financial transactions must be managed in accordance with a Council's financial policies and strategic plans	One of the key strategic risks is financial viability. Financial oversight is a key role of the Audit and Risk Committee, the Executive Management Team and Council. External audits by VAGO ensures external oversight around council's finances.
<p>Financial risks must be monitored and managed prudently having regard to economic circumstances</p> <p>For the purposes of the financial management principles, financial risk includes any risk relating to the following—</p> <ul style="list-style-type: none"> (a) the financial viability of the Council (b) the management of current and future liabilities of the Council (c) the beneficial enterprises of the Council 	One of the key strategic risks is financial viability. Financial oversight is a key role of the Audit and Risk Committee, the Executive Management Team and Council. External audits by VAGO ensures external oversight around council's finances.
Financial policies and strategic plans, including the Revenue and Rating Plan, must seek to provide stability and predictability in the financial impact on the municipal community	Financial policies, the Long Term Financial Plan and the four year budget are control measures to manage the strategic risk around financial viability. These plans and policies are monitored by ELT, the Audit and Risk Committee and Council through regular reporting.
Accounts and records that explain the financial operations and financial position of the Council must be kept	Keeping of financial records is a key risk management control measure. Internal and external audits are undertaken to ensure our financial operations run efficiently and effectively.

Principle	Comment
Service Performance Principles (section 106)	
Services should be provided in an equitable manner and be responsive to the diverse needs of the municipal community	The risk management policy supports an organisational culture where we constantly review changing needs and being responsive to our diverse community and plan our services accordingly.
Services should be accessible to the members of the municipal community for whom the services are intended	The risk management policy supports an organisational culture where we constantly review changing needs and being responsive to our diverse community and plan our services accordingly.
Quality and costs standards for services set by the Council should provide good value to the municipal community	The internal audit program, which forms an important part of our risk management approach, plays a strong role in reviewing functions and services to ensure they are providing services of good quality in an efficient and cost effective way.
A Council should seek to continuously improve service delivery to the municipal community in response to performance monitoring	One of the core principles is using risk management to underpin a culture of continuous learning, improvement and service provision refinement.
Service delivery must include a fair and effective process for considering and responding to complaints about service provision	The receipt of complaints is one way of identifying potential risks that require further investigation and possible proactive risk management. Council's Complaints Policy manages how complaints will be dealt with by the organisation.

CONSIDERATION OF CHARTER OF HUMAN RIGHTS AND RESPONSIBILITIES ACT 2006 IMPACTS

Council can limit human rights when those limitations can be justified. This means that Council can continue to make decisions on behalf of the community about how best to balance rights, ensure community safety, and use limited funding for competing public interest challenges.

Are there any human rights implications arising from this policy or directive in relation to the 20 substantive rights? Note: some rights have been excluded that do not apply to local government (eg deprivation of liberty)	Analysis
Recognition and equality before the law (section 8)	It is considered there are no impacts on this right arising from the risk management policy.
Right to life (section 9)	It is considered there are no impacts on this right arising from the risk management policy.
Protection from torture and cruel, inhuman or degrading treatment (section 10)	It is considered there are no impacts on this right arising from the risk management policy.
Freedom from forced work (section 11)	It is considered there are no impacts on this right arising from the risk management policy.
Freedom of movement (section 12)	It is considered there are no impacts on this right arising from the risk management policy.
Privacy and reputation (section 13)	It is considered there are no impacts on this right arising from the risk management policy.
Freedom of thought, conscience, religion and belief (section 14)	It is considered there are no impacts on this right arising from the risk management policy.
Freedom of expression (section 15)	It is considered there are no impacts on this right arising from the risk management policy.
Peaceful assembly and freedom of association (section 16)	It is considered there are no impacts on this right arising from the risk management policy.
Protection of families and children (section 17)	Risk identification plays a role in supporting the welfare and protection of families and children at a strategic and operational risk management level.
Right to take part in public life (section 18)	Social inclusion and equity is a consideration when analysing potential risks at a strategic and operational level.

Cultural rights (section 19)	Risk identification and management needs to consider cultural differences and approaches, ensuring that risk management controls are informed by stakeholder consultation.
Property rights (section 20)	It is considered there are no impacts on this right arising from the risk management policy.
Liberty and security of person (section 21)	It is considered there are no impacts on this right arising from the risk management policy.
Fair hearing (section 24)	It is considered there are no impacts on this right arising from the risk management policy.
Rights in criminal proceedings (section 25)	It is considered there are no impacts on this right arising from the risk management policy.
Overall, does the policy, local law or decision raise human rights issues?	The risk management policy aims to ensure compliance with our legislative obligations and aims to support the achievement of the Human Rights and Responsibilities Charter by actively analysing policy and service impacts and proactively managing any adverse impacts on rights.
Are there any human rights implications arising from this policy or directive in relation to the 20 substantive rights? Note: some rights have been excluded that do not apply to local government (eg deprivation of liberty)	Analysis
Overall, does the policy, local law or directive restrict or interfere with the scope of the human right/s identified? If yes, are the limitations or restrictions reasonably and demonstrably justified under Section 7 of the Human Rights Charter?	Risk management controls may restrict the use of Council services and facilities to ensure a safe and equitable workplace and municipality. These restrictions will also ensure that public safety are paramount in our thinking.
Are there any less restrictive means reasonably available to achieve the purpose that the limitation seeks to achieve?	Analysing risk and identifying risk management controls to help mitigate the risk and bring the risk within tolerance levels identified in the Risk Management Policy will consider all options, with the goal to minimise impacts on human rights.

GENDER EQUITY IMPACT ASSESSMENT

Gender impact assessments (GIAs) are designed to help organisations think critically about how policies, programs and services will meet the different needs of women, men and gender diverse people. The purpose GIAs is to create better and fairer outcomes, and make sure all people have equal access to opportunities and resources.

Your gender can affect your needs and experiences. This means that policies, programs and services can affect people of different genders in different ways. If we don't think about how their work affects different people, they might unintentionally reinforce inequalities.

A gender impact assessment must:

- assess the effects that the policy, program or service may have on people of different genders
- explain how the policy, program or service will be changed to better support Victorians of all genders and promote gender equality
- where practical, apply an intersectional approach to consider how gender inequality can be compounded by disadvantage or discrimination that a person may experience on the basis of other factors such as age, disability or ethnicity.

Step 1 – Defining the issues and challenge your assumptions	
What is the issue the policy or directive is aiming to address (think about why it is needed)?	The risk management policy is required to provide clear roles and responsibilities around the day to day application of Council's Enterprise Risk Management Framework. One of the aims is to ensure that risks, such as adverse impacts on gender equity objectives, are analysed and addressed by risk management controls.
Are the people who are targeted and impacted by the policy or directive included in the decision-making?	The policy requires consultation with internal and external stakeholders in the identification and mitigation of risks.
Do you think that people of different genders access this policy or directive at the same rate?	It is considered that the policy is gender neutral in its access and application, noting it provides an opportunity for a considered approach to the risks around not considering gender equity impacts across Council operations.
Do the different social roles and responsibilities that people take on affect the way people access and use this policy or directive?	Differing social roles and risk identification/control design is one factor to be considered under our risk management policy. This will be informed by stakeholder consultation where appropriate.
Do you think that everyone who accesses this policy or directive has the same needs from it?	The risk management policy has a strong internal focus, however stakeholder consultation is required to ensure that diverse needs are considered when analysing and managing risk.

Step 1 – Defining the issues and challenge your assumptions	
Do the different social roles and responsibilities that people take on affect the way people access and use this policy or directive?	The risk management policy has a strong internal focus, however stakeholder consultation is required to ensure that diverse social roles and responsibilities are considered when analysing and managing risk.
What additional needs might there be for people with disabilities, or from different cultural identities, ages, gender identities, sexual orientations or religions?	Analysing, monitoring and responding on the needs of our diverse community is one way in which Council can proactively ensure risks around exclusion and unintended consequences and adverse impacts on particular groups are managed.
Step 2 – Understanding the policy context	
What information is available to understand who is likely to be affected by the policy or directive?	The policy has been informed by our Enterprise Risk Management Framework, work and direction from the internal audit program, Audit and Risk Committee, external audits from VAGO and Council direction.
Do you already have this information?	Yes
How will you find the further information you need? Think about internal data, research, consultation.	It is considered no further information is required.
What did the research and evidence tell you? List key points and references/evidence	That risk analysis and mitigation is a continuous improvement process, with the requirement for our risk management framework and approach to enable Council to be agile and able to respond to unexpected events and issues.
Have you consulted with affected stakeholders on this aspect? State if it was formal or informal consultation. What were the key issues/outcomes/views?	Stakeholders have, and will continue to be, consulted around risks and risk management controls as required.
What information is available to understand the lived experiences of the diverse groups who will be affected?	The policy has been informed by our Enterprise Risk Management Framework, work and direction from the internal audit program, Audit and Risk Committee, external audits from VAGO and Council direction. Experiences gained through the application of the existing risk management policy has also informed this policy review process.
Do you already have this information?	Yes
How will you find the further information you need? Think about internal data, research, consultation.	It is considered no further information is required.

What did the research and evidence tell you? List key points and references/evidence	That risk management analysis and control measures need to be informed by thorough consideration of the needs and issues affecting the diverse community which we serve.
Have you consulted with affected stakeholders on this aspect? State if it was formal or informal consultation. What were the key issues/outcomes/views?	Stakeholders have, and will continue to be, consulted around risks and risk management controls as required.
How is this policy or directive likely to have different impacts for different people?	It is considered that the policy is gender neutral in its access and application, noting it provides an opportunity for a considered approach to the risks around not considering gender equity impacts across Council operations.
Do you already have this information?	Yes
How will you find the further information you need? Think about internal data, research, consultation.	It is considered no further information is required.
What did the research and evidence tell you? List key points and references/evidence	Risk management analysis for individual risks, council functions and services needs to consider the impacts, expected and unexpected/adverse and beneficial, on different groups within our community.
Have you consulted with affected stakeholders on this aspect? State if it was formal or informal consultation. What were the key issues/outcomes/views?	Stakeholders have, and will continue to be, consulted around risks and risk management controls as required.
Step 3 – Options analysis	
What are the policy options? For each option describe the proposed policy solution. Provide a brief description of the proposed strategies, activities or service design elements and how they will meet the needs and create benefit for the target audience.	After considering a broad cross section of documents and data, heavily informed by internal and external audits and the work of our Audit and Risk Committee, it is considered that this policy option best supports Council in discharging its risk management obligations and implementation of the Enterprise Risk Management Framework.
What are the potential policy options and what gendered impact might they have?	There are no alternative policy options and it is considered that the policy is gender neutral in its access and application, noting it provides an opportunity for a considered approach to the risks around not considering gender equity impacts across Council operations.
What are the gendered costs and risks? <ul style="list-style-type: none"> Who is likely to be negatively impacted by this? How are the most vulnerable groups likely to be impacted? 	There are no discernible adverse impacts on vulnerable groups arising from this policy, which is intended to ensure that such impacts form part of our service planning and continuous improvement culture.

<ul style="list-style-type: none"> • Will this reduce a certain group's access to economic resources or opportunities? If so, are they already disadvantaged? • Does it reinforce harmful gender stereotypes, for example, further promoting men in a male dominated industry? 	
<p>What are the gendered benefits?</p> <ul style="list-style-type: none"> • Will some people benefit more because they have greater access, or does this policy, program or service do everything it can to ensure resources are distributed and used equally? • Will it contribute to transforming gender norms in a positive way? Eg will it contribute to a more balanced distribution of unpaid care labour and family responsibilities between women and men? • Will it make women and children safer in public or private spaces? 	<p>Risk management is based on ensuring a safe and healthy workplace and community in terms of the impacts of Council operations and functions.</p>
<p>Will some people benefit more because they have greater access, or does this policy, program or service do everything it can to make sure resources are distributed and used equally?</p>	<p>It is considered that the policy is gender neutral in its access and application and does not give greater or lesser access to services or facilities.</p>
<p>Will it contribute to transforming gender norms in a positive way?</p>	<p>There is no discernible impact arising from this policy review.</p>
<p>Does your policy, program or service potentially have negative unintended consequences for certain groups of people?</p>	<p>The risk management approach aims to ensure that negative unintended consequences are identified and considered. There are no discernible impacts arising from this policy review.</p>
<p>Overall, do the benefits outweigh the costs or vice versa?</p>	<p>At the strategic and operational risk level there will be costs to achieve gender neutrality/equity as part of our risk mitigation control approach. The costs and benefits will be analysed for each particular control.</p>
<p>Step 4 Recommendations</p>	
<p>Provide the rationale for the proposed recommendation and include any mitigation strategies that could be used to avoid any harmful unintended outcome.</p>	<p>It is considered that the policy is gender neutral in its access and application, noting it provides an opportunity for a considered approach to the risks around not considering gender equity impacts across Council operations.</p>
<p>Include here the rationale for your recommendation as well as any mitigation strategies needed. In line with the Gender Equality Act, explain:</p> <ul style="list-style-type: none"> • how your recommendation meets the needs of persons of different genders • how it addresses gender inequality • how it promotes gender equality. 	<p>The policy requires consultation with stakeholders where appropriate and the consideration of gender equity and social equity issues in identifying and managing risks.</p>

CLIMATE CHANGE ADAPTATION/MITIGATION AND SUSTAINABILITY CONSIDERATIONS

The Local Government Act 2020 requires council to consider climate change mitigation and adaptation measures in all its key decision making, which includes policy development.

Council is also in the process of finalising a Climate Change Action Plan after declaring a Climate Emergency in 2021.

The Victorian Climate Change Adaptation Plan 2017-2020 sets out Council's responsibilities under the Act [Victorias-Climate-Change-Adaptation-Plan-2017-2020.pdf \(climatechange.vic.gov.au\)](https://climatechange.vic.gov.au/Victorias-Climate-Change-Adaptation-Plan-2017-2020.pdf). The following factors should inform your analysis statement:

- Provide leadership and good governance, represent the needs and values of local communities, and foster community cohesion
- Manage climate change risks to council community services and assets, with support from the State Government
- Identify the needs and priorities of the municipality and communicate these to State Government where needed
- Develop and deliver locally-appropriate adaptation responses
- Build the resilience of local assets and services
- Plan for emergency management at the municipal level, provide relief and recovery services, and support emergency response operations
- Help the State Government understand localised impacts and responses
- Work with the community to help people understand and get involved in climate change adaptation
- Help connect the State Government with the community.

Sustainable Strathbogie 2030 Strategy (to be updated to the Climate Change Action Plan once adopted)

Chapter 6 Climate Resilient Shire	Comment
Increasing heat	Climate change mitigation is identified in the strategic risk register and is one of the factors considered when identifying, analysing and controlling risks, whether they be at a strategic risk or operational risk level.
Changing rainfall patterns, drought conditions, and extreme meteorological conditions	As above.
Increased bushfire conditions and declining volunteer numbers	As above.
Increased social impacts	As above.
Chapter 7 A low carbon shire	Comment
Net Zero by 2025	As above.
Energy Efficiency	As above.
Energy Storage	As above.
Renewable Energy	As above.
Community Renewable Energy	As above.
Chapter 8 A water sensitive shire	Comment
Conserving valuable potable water	As above.
Stormwater management	As above.
Adaptive and recycled water resources	As above.
Keeping our shire green, cool and resilient	As above.
Chapter 9 A zero waste shire	Comment
Environmental impacts of landfill	As above.
Limited landfill capacity	As above.
Increased illegal dumping	As above.

Economic benefits from resource recovery	As above.
Chapter 10 An ecologically rich shire	Comment
Deforestation	As above.
Rural green infrastructure	As above.
Increasing our urban canopy	As above.
Rural roadsides	As above.
Rivers & Wetlands	As above.
Benefitting from our native forests	As above.
Chapter 11 An active and connected shire	Comment
Security of fuel supply	As above.
Transition to new fuel economy	As above.
Enabling access to the outdoors	As above.