

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services

RISK ANALYSIS

Risk Context:	Human Resources Risks
Risk Name:	Human resource: Attraction and Retention
Risk Description:	Inability to attract and retain critical /scarce skills.
Root Cause:	Unattractive remuneration packages. Lack of amenities and recreational facilities. Geographical location. SALGA limitation. Lack of Retention Strategy. Poor Job Evaluation processes.
Consequences:	Poor service delivery. Brain drain. Lack of internal capacity. Low staff morale.

RISK ASSESSMENT

Impact Rating:	100	Critical
Likelihood Rating:	100%	Certain
Inherent Risk Rating:	100	Critical
Control Effectiveness (Current)	20%	Weak
Residual Risk (Current)	80	Critical
Control Effectiveness (Desired)	45%	Satisfactory
Residual Risk (Desired)	55	Major
Residual Risk Gap	24	Moderate

Current Controls

- ◆ Retention Policy.
- ◆ Recruitment Policy.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
◆ Implementation of an effective Skills Retention Policy. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Corporate Services</i> <i>Start date: 28/08/2012</i> <i>Due date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30

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EMnambithi/ Ladysmith Local Municipality

Office of the Mayor

RISK ANALYSIS

Risk Context:	Political Risks
Risk Name:	Political Office Bearers: IGR
Risk Description:	Poor intergovernmental relations between the Municipality and the District Municipality.
Root Cause:	Lack of Co-ordination by the District Municipality. Poor Communication.
Consequences:	Poor service delivery. Fraud and corruption. Invoking of Section 139 by the Province.

RISK ASSESSMENT

Impact Rating:	100	Critical
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	80	Critical
Control Effectiveness (Current)	20%	Weak
Residual Risk (Current)	64	Critical
Control Effectiveness (Desired)	45%	Satisfactory
Residual Risk (Desired)	44	Major
Residual Risk Gap	20	Minor

Current Controls

- ◆ Councillors Code of Conduct.
- ◆ IGR Agreement.
- ◆ Councillors Induction.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Establishment of Chief Whips Committee. <i>Risk Owner: Mayor</i> <i>Action Owner: Municipal Manager</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 31/03/2013</i>	Not Started	2012/08/28	2013/03/31

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EMnambithi/ Ladysmith Local Municipality

Electricity and Infrastructure

RISK ANALYSIS

Risk Context: Strategic and Service Delivery Risks

Risk Name: Electricity: Provision

Risk Description: Insufficient capacity to supply electricity services.

Root Cause: Unplanned development and growth.
Lack of a master plan.

Consequences: Poor service delivery.
Failure to attract investments.
Social and economic impact i.e. failure to alleviate poverty through job creation.

RISK ASSESSMENT

Impact Rating:	65	Critical
Likelihood Rating:	100%	Certain
Inherent Risk Rating:	65	Critical
Control Effectiveness (Current)	10%	Unsatisfactory
Residual Risk (Current)	58	Major
Control Effectiveness (Desired)	45%	Satisfactory
Residual Risk (Desired)	35	Moderate
Residual Risk Gap	22	Moderate

Current Controls

◆ No Controls.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
◆ Development of a Master Plan. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Electricity and Infrastructure</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2014</i>	Not Started	2012/08/28	2014/06/30
◆ Upgrading of the network in Colenso. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Electricity and Infrastructure</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2015</i>	Not Started	2012/08/28	2015/06/30

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EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Disaster Recovery/Business Continuity Risk
Risk Name:	IT - Strategic Alignment
Risk Description:	Non-alignment of the IT Initiatives or processes with the strategic objectives of the Municipality.
Root Cause:	<p>Lack of buy-in by management with regard to IT Governance processes.</p> <p>Financial constraints or low budget provided due to poor planning by departments and IT Unit.</p> <p>Delays in finalising the IT Strategy.</p> <p>Delays in appointing an IT manager.</p>
Consequences:	<p>Hampered service delivery.</p> <p>Misalignment of IT Projects.</p> <p>Inadequate planning of IT resources.</p> <p>Duplication amongst different initiatives.</p> <p>Fruitless and Wasteful expenditure.</p> <p>Failure of IT projects.</p>

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	20%	Weak
Residual Risk (Current)	38	Major
Control Effectiveness (Desired)	45%	Satisfactory
Residual Risk (Desired)	26	Moderate
Residual Risk Gap	12	Minor

Current Controls

◆ No Control.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
◆ Formation of an IT Steering Committee. <i>Risk Owner: Manager- Corporate Services</i> <i>Action Owner: IT Manager</i> <i>Start Date: 02/04/2012</i> <i>Due Date : 30/06/2012</i>	Not Started	2012/04/02	2012/06/30
◆ Finalisation of IT Strategy. <i>Risk Owner: Manager- Corporate Services</i> <i>Action Owner: IT Manager</i> <i>Start Date: 01/02/2011</i>	In Progress	2011/02/01	2012/06/30

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Corporate Services IT



Due Date : 30/06/2012

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Disaster Recovery/Business Continuity Risk
Risk Name:	IT - Outdated software and Infrastructure
Risk Description:	Obsolete infrastructure.
Root Cause:	Lack of change management procedures. Delays in finalising the IT Strategy. Inadequate planning.
Consequences:	Incompatibility of old/outdated infrastructure and systems with the new software. Regular malfunctioning of critical application software and hardware. Inability or failure of systems to handle high system load when new applications or initiatives are deployed. Financial implications. Compromised service delivery. Compromised data and systems security.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	20%	Weak
Residual Risk (Current)	38	Major
Control Effectiveness (Desired)	45%	Satisfactory
Residual Risk (Desired)	26	Moderate
Residual Risk Gap	12	Minor

Current Controls

◆ No Control.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
◆ Approval of IT Strategy. <i>Risk Owner: Manager- Corporate Services</i> <i>Action Owner: IT Manager</i> <i>Start Date: 21/05/2012</i> <i>Due Date : 30/06/2012</i>	In Progress	2012/05/21	2012/06/30
◆ Review of Asset Management Policy. <i>Risk Owner: Manager- Administration</i> <i>Action Owner: Chief Financial Officer</i> <i>Start Date: 02/04/2012</i> <i>Due Date : 31/03/2013</i>	Not Started	2012/04/02	2013/03/31
◆ Upgrading of Network. <i>Risk Owner: Manager- Corporate Services</i> <i>Action Owner: IT Manager</i>	Not Started	2012/05/21	2013/03/31

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Corporate Services IT



Start Date: 21/05/2012

Due Date : 21/05/2013

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Disaster Recovery/Business Continuity Risk
Risk Name:	IT - Human Resources
Risk Description:	Retention or recruitment of key IT Staff.
Root Cause:	Poor market related remunerative packages offered by the Municipality. IT has not been realised as a strategic enabler within the Municipality.
Consequences:	Delays or failure in implementation of critical IT initiatives. Hampered service delivery. Failure to test IT policies.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	20%	Weak
Residual Risk (Current)	38	Major
Control Effectiveness (Desired)	45%	Satisfactory
Residual Risk (Desired)	26	Moderate
Residual Risk Gap	12	Minor

Current Controls

- ◆ Human Resources Retention Policy.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
<ul style="list-style-type: none"> ◆ Appoint an IT Manager. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Executive Manager- Corporate Service</i> <i>Start Date: 21/05/2012</i> <i>Due Date : 30/06/2012</i> 	In Progress	2012/05/21	2012/06/30
<ul style="list-style-type: none"> ◆ Approval of IT Strategy. <i>Risk Owner: Manager- Corporate Services</i> <i>Action Owner: IT Manager</i> <i>Start Date: 21/05/2012</i> <i>Due Date : 30/06/2012</i> 	In Progress	2012/05/21	2012/06/30

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EMnambithi/ Ladysmith Local Municipality

Engineering

RISK ANALYSIS

Risk Context:	Infrastructure Risks
Risk Name:	Building Control: Encroachments
Risk Description:	Illegal developments.
Root Cause:	Inadequate monitoring. Lack of awareness to the community. Lack of capacity (staff). Limited Skilled personnel. Lack of enforcement of Municipal Bylaws.
Consequences:	Loss of income. Loss of life. Litigations. Non compliance with National Building Regulations.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	20%	Weak
Residual Risk (Current)	38	Major
Control Effectiveness (Desired)	45%	Satisfactory
Residual Risk (Desired)	26	Moderate
Residual Risk Gap	12	Minor

Current Controls

- ◆ By-laws.
- ◆ Building Inspectors.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Appointment of Inspectors and By-law Enforcement Officers. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Electricity Services</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30
◆ Effective enforcement of by-laws and Legislation.	Not Started	2012/08/28	

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EMnambithi/ Ladysmith Local Municipality Engineering

Risk Owner: Municipal Manager

Action Owner: Manager Electricity Services

Start Date: 28/08/2012

Due Date: Ongoing

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EMnambithi/ Ladysmith Local Municipality

Office of the Mayor

RISK ANALYSIS

Risk Context:	Governance, Compliance/Regulatory and Reputational Risks
Risk Name:	Business Support: Ward Committees
Risk Description:	Ineffective Ward Committees.
Root Cause:	Inadequate understanding of roles and responsibilities. Lack of training due to financial constraints. Lack of incentives. Lack of regular meetings. Poor relations between Ward Committee and relevant stakeholders. Lack of co-ordination between ward councillors and administration.
Consequences:	Poor communication of information between the Municipality and the community. Service delivery protests. Unco-ordinated service delivery.

RISK ASSESSMENT

Impact Rating:	100	Critical
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	60	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	33	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	18	Minor
Residual Risk Gap	14	Minor

Current Controls

- ◆ Ward Committee Stipend.
- ◆ Ward Committee Policy.
- ◆ Schedule of Ward meetings.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
◆ Review of the nomination processes of Ward Committee. <i>Risk Owner: Municipal Manager</i> <i>Action owner: Municipal Manager</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2014</i>	Not Started	2012/08/28	2014/06/30

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EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context:	Financial Risks
Risk Name:	Financial Management: Debt Management
Risk Description:	Failure to collect outstanding debts within required time.
Root Cause:	Lack of capacity. Disconnections not actioned. Limited ability to disconnect electricity outside the licenced area.
Consequences:	Loss of revenue. Poor service delivery. Increased tariff.

RISK ASSESSMENT

Impact Rating:	100	Critical
Likelihood Rating:	100%	Certain
Inherent Risk Rating:	100	Critical
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	30	Moderate
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	9	Insignificant
Residual Risk Gap	20	Minor

Current Controls

- ◆ Summons/Final Demands of Payment.
- ◆ Debt Collection and Credit Control Policy.
- ◆ Monitoring of Debt Collection.
- ◆ Indigent Policy.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plan.	Not Started		

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EMnambithi/ Ladysmith Local Municipality

Governance and Transformation

RISK ANALYSIS

Risk Context: Process/Operational Risks

Risk Name: **Business Support: Registry/Records Management**

Risk Description: Inadequate records management system.

Root Cause: Lack of automated electronic system.
Inadequate accountability.
Lack of standardised records management system and training.
Decentralised system.

Consequences: Auditor General queries.
Non compliance with National Archiving requirements.
Loss of crucial information.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	20%	Weak
Residual Risk (Current)	28	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	10	Insignificant
Residual Risk Gap	18	Minor

Current Controls

- ◆ Electronic Records Filing System.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
◆ Improve current filing system to National Archives Standards. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Executive Manager</i> <i>Governance and Transformation</i> <i>Start date: 28/08/2012</i> <i>Due date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30
◆ Implement file tracking measures. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Executive Manager</i> <i>Governance and Transformation</i>	Not Started	2012/08/28	

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EMnambithi/ Ladysmith Local Municipality

Governance and Transformation



Start date: 28/08/2012

Due date: Ongoing

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context: Disaster Recovery/Business Continuity Risk

Risk Name: IT - User Account Management

Risk Description: Unauthorised access to systems and circumvention of logical access rights.

Root Cause: Inadequate user account management (password expiry, history, complexity, idle workstation).

Lack of user account management guidelines.

Violation of security rules by users (e.g. sharing of passwords).

Excessive allocation of access rights to users.

Consequences: Fraud.

Compromised data and systems security.

Financial implications.

Hampered service delivery.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	26	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	14	Minor
Residual Risk Gap	12	Minor

Current Controls

- ◆ Review of User Access.
- ◆ User Access Forms.
SAMRAS.
Internet & E-mail.
Contour Prepaid Electricity Vending System.
- ◆ Password Controls.
- ◆ Audit Trails for Critical Applications.
SAMRAS.
Contour.
Georeality.
Internet and e-mail.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Password controls on all machines. Risk Owner: Manager- Corporate Services Action Owner: IT Manager Start Date: 02/04/2012 Due Date : 31/05/2012	Not Started	2012/04/02	2012/05/31
◆ Review of Virtual Private Network	Not Started	2012/04/02	2012/04/30

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Corporate Services IT

<p>access and activities.</p> <p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 02/04/2012</i></p> <p><i>Due Date : 30/04/2012</i></p>			
<p>◆ Monitoring of super user activities.</p> <p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 02/04/2012</i></p> <p><i>Due Date : 31/05/2012</i></p>	Not Started	2012/04/02	2012/05/31

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EMnambithi/ Ladysmith Local Municipality

Economic Development

RISK ANALYSIS

Risk Context:	Economic Risks
Risk Name:	Economic Development: Investment Attraction and Retention
Risk Description:	Inability to attract and retain investments.
Root Cause:	Lack of infrastructure. Low buying power in Colenso and surrounding areas. Inadequate strategic marketing. Unavailability of suitable land (ownership).
Consequences:	High rate of crime and unemployment. Loss of revenue. Migration of investors.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	26	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	14	Minor
Residual Risk Gap	12	Minor

Current Controls

- ◆ Local Economic Development Strategy.
- ◆ Business Incentive Policy.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plan.	Not Started		

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EMnambithi/ Ladysmith Local Municipality

Electricity and Infrastructure

RISK ANALYSIS

Risk Context:	Cultural Risks
Risk Name:	Electricity: Accountability
Risk Description:	Unaccounted electricity losses.
Root Cause:	Tampering and theft. Line losses.
Consequences:	Financial loss. Compromised Service Delivery. Compromised future expansion.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	26	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	14	Minor
Residual Risk Gap	12	Minor

Current Controls

- ◆ Reports to NERSA and Council.
- ◆ Meter Reading System.
- ◆ Energy Auditors.
- ◆ Meter Inspectors.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Installation of data loggers. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Electricity and Infrastructure</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30

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EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context:	Process/Operational Risks
Risk Name:	Financial Management: Municipal Grants
Risk Description:	Failure to fully utilise conditional grants.
Root Cause:	Delays in implementation of projects. Poor communication. Lack of reconciliation of grants.
Consequences:	Poor service delivery. Withdrawal of grants. Unauthorised expenditure.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	26	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	14	Minor
Residual Risk Gap	12	Minor

Current Controls

- ◆ Monthly Reporting to Provincial and National Treasury.
- ◆ Conditional Grants' Business Plans.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
◆ Improve communication with grantors. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Chief Financial Officer</i> <i>Start Date: 28/08/2012</i> <i>Due Date: Ongoing</i>	Not Started	2012/08/28	

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context:	Financial Risks
Risk Name:	Financial Management: Supply Chain Management Procurement
Risk Description:	Delays in procurement of goods and services.
Root Cause:	<p>Inadequate utilisation of procurement plan.</p> <p>Limited coordination between Supply Chain Management and departments.</p> <p>Limited knowledge of staff.</p> <p>Incorrect specification.</p> <p>Inadequate Budgets.</p>
Consequences:	<p>Poor service delivery.</p> <p>Delays in implementation of projects.</p>

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	26	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	14	Minor
Residual Risk Gap	12	Minor

Current Controls

- ◆ Supply Chain Management Policy.
- ◆ Supply Chain Management Unit.
- ◆ Verification of Material Delivered by User Department.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
<p>◆ Training on electronic system to enhance Supply Chain Management processes. <i>Training of staff on electronic system to enhance Supply Chain Management processes.</i></p> <p><i>Risk Owner: Municipal Manager</i></p> <p><i>Action Owner: Chief Financial Officer</i></p> <p><i>Start date: 28/08/2012</i></p> <p><i>Due date: 30/06/2013</i></p>	Not Started	2012/08/28	2013/06/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Governance and Transformation

RISK ANALYSIS

Risk Context:	Infrastructure Risks
Risk Name:	Community Development: Housing Provision
Risk Description:	Inability to reduce housing backlog.
Root Cause:	Inadequate planning. Non alignment of Municipal plan with the Sector Department. Delays on implementation of Housing Project. Unavailability of land for development. Lack of skills and capacity.
Consequences:	Poor service delivery. Community unrest. Increase of slums/informal settlements. Invasion of Municipal and private land. Failure to alleviate poverty through provision of human settlement.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	26	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	14	Minor
Residual Risk Gap	12	Minor

Current Controls

- ◆ Housing Beneficiary Database.
- ◆ Progress Reports.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Public Safety

RISK ANALYSIS

Risk Context:	Disaster Recovery/Business Continuity Risks
Risk Name:	Community Services: Disaster Management
Risk Description:	Delays in responding to disaster.
Root Cause:	Lack of satellite offices/resources. High number of speed humps. Widespread area.
Consequences:	Loss of life and property. Poor service delivery. Community unrest.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	26	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	14	Minor
Residual Risk Gap	12	Minor

Current Controls

- ◆ Assistance by Traffic Officers.
- ◆ 24/7 Standby.
- ◆ Assistance by Ithala Fire Department.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Construction of satellite station at Ezakheni and Van Reenen. <i>Memorandum of understanding between Van Reenen and Ezakheni working on fire and Memorandum of understanding with N3 TC.</i> <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Public Safety</i> <i>Start date: 28/08/2012</i> <i>Due date: 31/12/2012</i>	Not Started	2012/08/28	2012/12/31
◆ MTAS establishment of fire satellite station in rural areas. <i>Municipal Turn Around Strategy establishment of fire satellite station in rural areas.</i> <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Public Safety</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2018</i>	Not Started	2012/08/28	2018/06/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Public Safety

RISK ANALYSIS

Risk Context:	Health and Safety / Security Risks
Risk Name:	Business Process: Safety and Security
Risk Description:	Failure to reduce crime.
Root Cause:	High unemployment rate/socio economic issues. Poor policing visibility. Lack of resources.
Consequences:	Failure to attract investments. High rate of crime. Sense of insecurity. Poor service delivery. Community unrest.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	26	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	14	Minor
Residual Risk Gap	12	Minor

Current Controls

- ◆ Crime Statistics Used To Identify Crime Hotspots.
- ◆ South African Police Service Forums.
- ◆ Installation and Monitoring of CCTV.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
Appointment of additional Traffic Officers. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Public Safety</i> <i>Start date: 28/08/2012</i> <i>Due date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Disaster Recovery/Business Continuity Risk
Risk Name:	IT - Disaster Recovery
Risk Description:	Failure to recover data and systems efficiently and effectively in the event of disruptions.
Root Cause:	<p>Financial constraints.</p> <p>No tests have been conducted on the critical information systems.</p> <p>Inadequate monitoring and implementation of backup procedures.</p> <p>Inadequate training of staff on IT Disaster Recovery.</p> <p>Lack of formalised disaster recovery and business continuity processes.</p>
Consequences:	<p>Inability to manage a timely recovery process.</p> <p>Loss of critical data.</p> <p>Negative impact on service delivery.</p> <p>Adverse financial implications.</p> <p>Tarnished reputation.</p> <p>Litigation.</p>

RISK ASSESSMENT

Impact Rating:	100	Critical
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	80	Critical
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	24	Moderate
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	7	Insignificant
Residual Risk Gap	16	Minor

Current Controls

◆ Daily Monitoring of Backups.
◆ Testing of Disaster Recovery Plan.
◆ Daily, Weekly, Monthly Backups.
◆ New Server.
◆ Onsite and Offsite Storage. SAMRAS. Contour(Offsite). Georeality. Metval.
◆ Data Replication System for SAMRAS and Network Services.
◆ Approved DRP. <i>Recovery procedures have been tested.</i>

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
◆ Approval of Back Up Policy. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager- Corporate Services</i>	Not Started	2012/05/18	2012/09/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

<p><i>Start Date: 18/05/2012</i></p> <p><i>Due Date : 30/09/2012</i></p>			
<p>◆ Periodic testing of backups.</p> <p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 21/05/2011</i></p> <p><i>Due Date : 30/04/2012</i></p>	In Progress	2012/05/21	2012/04/30
<p>◆ Procurement of Generator/Uninterruptible Power Supply.</p> <p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 18/05/2012</i></p> <p><i>Due Date : 30/07/2013</i></p>	Not Started	2012/05/18	2013/07/30
<p>◆ Disaster Recovery Plan and Business Continuity Plan testing.</p> <p><i>Risk Owner: IT Manager</i></p> <p><i>Action Owner: Manager- Corporate Services</i></p> <p><i>Start Date: 01/12/2011</i></p> <p><i>Due Date : 31/03/2013</i></p>	In Progress	2011/12/01	2013/03/31
<p>◆ Periodic testing of backups.</p> <p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 21/05/2011</i></p> <p><i>Due Date : 30/04/2012</i></p>	In Progress	2012/05/21	2012/04/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Engineering

RISK ANALYSIS

Risk Context:	Infrastructure Risks
Risk Name:	Infrastructure: Maintenance
Risk Description:	Flooding of infrastructure.
Root Cause:	Adverse weather conditions. Inadequate storm water system. Lack of operational budget.
Consequences:	Loss of life/property. Negative economic growth. Financial constraints (disaster fund).

RISK ASSESSMENT

Impact Rating:	100	Critical
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	80	Critical
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	24	Moderate
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	7	Insignificant
Residual Risk Gap	16	Minor

Current Controls

- ◆ Tide Flex Valves.
- ◆ Emergency Plan.
- ◆ Upgrading of Storm Water Systems.
- ◆ Operational Manual and Maintenance.
- ◆ Pre-warning System.
- ◆ Sluice Gates.
- ◆ Levies on River Bank.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
◆ Convert Sluice gates into tide valves. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Electricity Services</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 31/12/2012</i>	Not Started	2012/08/28	2012/12/31

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Disaster Recovery/Business Continuity Risk
Risk Name:	IT - Governance
Risk Description:	Inability or failure to provide direction on information technology governance processes which give due consideration to the risks, processes and controls required to ensure IT value and improved service delivery.
Root Cause:	IT has not been realised as a strategic enabler in the Municipality. Limited representation of IT at the management level. No IT Manager.
Consequences:	Inadequate management of the IT control environment.

RISK ASSESSMENT

Impact Rating:	35	Moderate
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	28	Moderate
Control Effectiveness (Current)	20%	Weak
Residual Risk (Current)	22	Moderate
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	8	Insignificant
Residual Risk Gap	14	Minor

Current Controls

- ◆ IT Policies.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
<ul style="list-style-type: none"> ◆ Develop an IT Governance Framework. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: IT Manager</i> <i>Start Date: 02/04/2012</i> <i>Due Date :31/12/2012</i> 	Not Started	2012/04/02	2012/12/31
<ul style="list-style-type: none"> ◆ Appoint an IT Manager. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager- Corporate Services</i> <i>Start Date: 02/04/2012</i> <i>Due Date :01/07/2012</i> 	In Progress	2012/04/02	2012/07/01
<ul style="list-style-type: none"> ◆ Formation of IT Steering Committee. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager- Corporate Services</i> <i>Start Date: 21/05/2012</i> <i>Due Date :31/03/2013</i> 	In Progress	2012/05/21	2013/03/31

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EMnambithi/ Ladysmith Local Municipality

Corporate Services

RISK ANALYSIS

Risk Context:	Human Resources Risks
Risk Name:	Human Resource: Skills Development and Training
Risk Description:	Failure to train and develop Municipal staff (operational staff).
Root Cause:	Poor planning. Lack of prioritisation by management. Limited participation by other staff members.
Consequences:	Low staff morale. Disgruntled employees.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	19	Minor
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	10	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Monthly Reports on Training and Development.
- ◆ Reporting to Management Committee.
- ◆ Workplace Skills Plan.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
Description Risk Owner Action Owner			
◆ Conducting a Work Study process. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Corporate Services</i> <i>Start date: 28/08/2012</i> <i>Due date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Engineering

RISK ANALYSIS

Risk Context:	Infrastructure Risks
Risk Name:	Infrastructure: Roads Maintenance
Risk Description:	Inability to maintain roads infrastructure.
Root Cause:	Inadequate implementation of maintenance plan. Inadequate operational budget. Shortages of roads maintenance material. Adverse weather conditions.
Consequences:	Network collapsing (damaged roads). High rate of accidents. High replacement costs. Tarnished image of the Municipality.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	19	Minor
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	10	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Road Maintenance Plan.
- ◆ Pavement Management System.
- ◆ Regular Monitoring.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Align maintenance budget to Pavement Management System. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Electricity Services</i> <i>Start date: 28/08/2012</i> <i>Due date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context:	Financial Risks
Risk Name:	Financial Management: Assets Management
Risk Description:	Inadequate asset register.
Root Cause:	Decentralisation of asset management. Lack of co-operation by staff to control movement of assets. Limited register for infrastructure assets. Duplication of assets.
Consequences:	Loss of assets. Non compliance with GRAP 17. AG adverse opinion.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	19	Minor
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	10	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Assets Register.
- ◆ Assets Policy.
- ◆ Quarterly Assets Verification.

Action Plans & Accountability

Task Name <i>Description Risk Owner Action Owner</i>	Status	Start Date	Due Date
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Public Safety

RISK ANALYSIS

Risk Context:	Process/Operational Risks
Risk Name:	Business Process: Traffic Services
Risk Description:	Unethical behaviour (bribery, unauthorised issuing of licences and road worthy certificates).
Root Cause:	<p>Criminal elements.</p> <p>Conflict of interest.</p> <p>Inadequate segregation of duties.</p> <p>Inadequate supervision and monitoring by senior officials.</p>
Consequences:	<p>Loss of revenue.</p> <p>Lawlessness.</p> <p>Poor service delivery.</p>

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	19	Minor
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	10	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

◆ Gift register.
◆ Supervision and Monitoring.
◆ Annual Review of Peace Officers.
◆ Code of Ethics.
◆ Anti Fraud and Corruption Awareness and Hotline.
◆ Criminal Background Check Prior To Appointment.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
Description Risk Owner Action Owner			
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services

RISK ANALYSIS

Risk Context:	Technological and System Risks
Risk Name:	Business Support: Information Technology
Risk Description:	Ineffective information technology support.
Root Cause:	Lack of capacity. Financial constraints.
Consequences:	Loss of critical data. Operational inefficiency. Financial loss. Poor service delivery.

RISK ASSESSMENT

Impact Rating:	100	Critical
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	60	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	18	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	5	Insignificant
Residual Risk Gap	12	Minor

Current Controls

- ◆ Information Technology Communications Policy.
- ◆ 5 Year Information Technology Policy.
- ◆ Call Centre.
- ◆ Information Technology Security Policy.
- ◆ Information Technology Strategy Plan.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Appointment of an Information Technology Manager. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Corporate Services</i> <i>Start date: 28/08/2012</i> <i>Due date: 31/10/2012</i>	Not Started	2012/08/28	2012/10/31
◆ Upgrading of systems infrastructure. <i>Risk Owner: Municipal Manager</i>	Not Started	2012/08/28	2013/08/31

Section D - Risk Analysis and Risk Assessment

EMnambithi/ Ladysmith Local Municipality

Corporate Services



Action Owner: Manager Corporate Services

Start date: 28/08/2012

Due date: 30/06/2013

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EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context: Fraud and Corruption Risks

Risk Name: Fraud and Corruption Risks

Risk Description: Vulnerability to fraud and corruption.

Root Cause: Conflict of interest.
 Manipulation of internal controls.
 Inadequate monitoring and supervision.
 Lack of segregation of duties.
 Unethical behaviour.

Consequences: Financial loss.
 Reputational damage.
 Office of the Auditor General queries.
 Non compliance with legislation.

RISK ASSESSMENT

Impact Rating:	100	Critical
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	60	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	18	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	5	Insignificant
Residual Risk Gap	12	Minor

Current Controls

- ◆ Supply Chain Management Policy and Procedure Manual.
- ◆ Segregation of Duties.
- ◆ Legal Support.
- ◆ Internal Audit Reviews.
- ◆ Internal Control Inspection.
- ◆ Anti Fraud and Corruption Strategy.
- ◆ Cash Up Procedures.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Security Clearance for newly appointed staff. <i>Risk Owner: Municipal manager</i> <i>Action Owner: Chief Financial Officer</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 31/12/2012</i>	Not Started	2012/08/28	2012/12/31
◆ Monitoring of segregation of duties. <i>Start date: 28/08/2012</i>	Not Started	2011/08/01 10	2011/08/01 10

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EMnambithi/ Ladysmith Local Municipality

Finance

<p><i>Due date: Ongoing daily</i></p> <p><i>Risk Owner: Municipal Manager</i></p> <p><i>Action Owner: Chief Financial Officer</i></p>			
<p>◆ Ongoing staff development and training.</p> <p><i>Start date: 28/08/2012</i></p> <p><i>Due date: Ongoing quarterly</i></p> <p><i>Risk Owner: Municipal Manager</i></p> <p><i>Action Owner: Chief Financial Officer</i></p>	Not Started	2012/01/03 10	2012/01/03 10

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EMnambithi/ Ladysmith Local Municipality

Office of the Mayor

RISK ANALYSIS

Risk Context:	Political Risks
Risk Name:	Political Office Bearers: Councillors Conduct
Risk Description:	Unethical conduct of Councillors.
Root Cause:	Lack of understanding of roles and responsibilities. Non compliance with legislation.
Consequences:	Fraud and corruption. Poor service delivery. Invoking Section 139 by the Province.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	100%	Certain
Inherent Risk Rating:	60	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	18	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	5	Insignificant
Residual Risk Gap	12	Minor

Current Controls

- ◆ Councillors Code of Conduct.
- ◆ Councillors Induction.
- ◆ All Municipal Policies.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i>			
<i>Risk Owner</i>			
<i>Action Owner</i>			
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Office of the Municipal Manager

RISK ANALYSIS

Risk Context:	Process/Operational Risks
Risk Name:	Business Support: Performance Management System
Risk Description:	Ineffective implementation of the Performance Management System.
Root Cause:	Unavailability of the Heads of Departments. Lack of understanding of the Performance Management System. Delays in submitting information for Performance Management System. Lack of incentive for evaluated staff.
Consequences:	Rewarding of non-performance. Poor service delivery. Low staff morale.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	100%	Certain
Inherent Risk Rating:	60	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	18	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	5	Insignificant
Residual Risk Gap	12	Minor

Current Controls

- ◆ Performance Management System Software.
- ◆ Performance Management System Framework.
- ◆ Performance Management System Plan.
- ◆ Quarterly Reviews.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Office of the Municipal Manager

RISK ANALYSIS

Risk Context: Process/Operational Risks

Risk Name: **Business Support: Internal Audit/Risk Management**

Risk Description: Ineffective Internal Auditing and Risk Management services.

Root Cause: Lack of resources (Auditing system).

Lack of awareness/or understanding of the Internal Audit and Risk Management functions.

Consequences: Failure to achieve pre-determined goals and objectives, due to inability to understand risks facing the Municipality.

Failure to provide Internal Audit advice.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	100%	Certain
Inherent Risk Rating:	60	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	18	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	5	Insignificant
Residual Risk Gap	12	Minor

Current Controls

- ◆ Internal Audit Charter.
- ◆ Internal Audit Plan.
- ◆ Risk Management Framework.
- ◆ Internal Audit Methodology.
- ◆ Audit Committee Charter.
- ◆ Risk Management Plan.
- ◆ Audit Committee.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
◆ No future action plan.	Not Started		

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EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Governance, Compliance/Regulatory and Reputational Risk
Risk Name:	IT - Asset Management
Risk Description:	Loss, Disposal or donation of IT assets which contain critical and confidential data.
Root Cause:	Inadquate disposal management procedures for IT assets. Inconsistent security checks on IT equipment at entrance and exit points.
Consequences:	Loss of assets. Financial Implications. Inability to account for assets. Adverse audit opinion. Loss of data.

RISK ASSESSMENT

Impact Rating:	35	Moderate
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	28	Moderate
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	15	Minor
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	8	Insignificant
Residual Risk Gap	7	Insignificant

Current Controls

- ◆ Laptop Acceptance Form(Policy).
- ◆ Asset Transfer Form.
- ◆ Asset Management Policy.
- ◆ Liability Cover for Notebooks/ Laptops.
- ◆ IT Asset Movement Form.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future task.	Not Started		

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EMnambithi/ Ladysmith Local Municipality

Economic Development

RISK ANALYSIS

Risk Context:	Process/Operational Risks
Risk Name:	Waste Management: Collection
Risk Description:	Ineffective waste/refuse collection.
Root Cause:	Inadequate resources.
Consequences:	Illegal dumping. Poor service delivery. Community unrest. Health hazards.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	14	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	4	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Waste Collection Schedule.
- ◆ Waste Management Plan.
- ◆ Waste Removal Trucks.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
◆ Future identification of a dumping site. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Economic Development</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2014</i>	Not Started	2012/08/28	2014/06/30

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EMnambithi/ Ladysmith Local Municipality

Electricity and Infrastructure

RISK ANALYSIS

Risk Context:	Infrastructure Risks
Risk Name:	Electricity: Infrastructure Theft
Risk Description:	Theft of electricity/electricity equipment.
Root Cause:	Socio economic factors. Criminal elements. Lack of security.
Consequences:	Poor service delivery. Loss of life. Financial loss.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	14	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	4	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Data Loggers.
- ◆ Quarterly Patrols.
- ◆ Frequent Meter Inspections.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plans.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Electricity and Infrastructure

RISK ANALYSIS

Risk Context:	Infrastructure Risks
Risk Name:	Electricity: Infrastructure
Risk Description:	Ageing electricity infrastructure.
Root Cause:	Lack of operational budget. Lack of proper planning.
Consequences:	Poor service delivery. Failure to attract investments. Negative economic growth.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	14	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	4	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Refurbishment Programme.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
◆ Continuous refurbishment programme. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Manager Electricity and Infrastructure</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2018</i>	Not Started	2012/08/28	2018/06/30

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EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context:	Financial Risks
Risk Name:	Financial Management: Budget Process
Risk Description:	Over/under expenditure on Municipal programmes.
Root Cause:	Inadequate monitoring of a budget. Urgent orders. Political interference. Unplanned projects expenditure.
Consequences:	Failure to achieve the goals and objectives as per the Integrated Development Plan. Compromised service delivery. Auditor General queries. Community unrest.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	14	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	4	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Procurement Plan.
- ◆ National Treasury Circular.
- ◆ Budget Policy.
- ◆ Section 71 Reports.
- ◆ Virement Policy.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plan.	Not Started		

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EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context:	Financial Risks
Risk Name:	Financial Management: Contract Management
Risk Description:	Poor contract management.
Root Cause:	Inadequate periodic review of long term contracts. Inadequate performance monitoring system.
Consequences:	Financial loss. Litigations. Poor service delivery.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	14	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	4	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Quotation Register.
- ◆ Contract Management Procedure.
- ◆ Supply Chain Management Policy and Regulation.
- ◆ Procurement Plan.
- ◆ Contracts Register.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Develop and Implement performance management system. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Chief Financial Officer</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30

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EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context: Financial Risks

Risk Name: Financial Management: Revenue Management

Risk Description: Inability to maximise revenue.

Root Cause: Incorrect receipting.
Prepaid vending system not interfaced with a financial system.
Dishonoured cheques.

Consequences: Loss of revenue.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	14	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	4	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Balancing Cash Daily.
- ◆ Cash Up Report.
- ◆ Detailed Procedure for Cash Collection.
- ◆ SAMRAS Financial Systems.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context: Financial Risks

Risk Name: Financial Management: Expenditure Management

Risk Description: Payments of goods and services not received or rendered.

Root Cause: Lack of verification of banking details.
Head of Departments not verifying the invoices before submitting to Finance.

Consequences: Fruitless and wasteful expenditure.
Irregular expenses.
Fraud and corruption.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	48	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	14	Minor
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	4	Insignificant
Residual Risk Gap	9	Insignificant

Current Controls

- ◆ Payment Verifications by Internal Control.
- ◆ Segregation of Duties.
- ◆ Payment Voucher.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Disaster Recovery/Business Continuity Risk
Risk Name:	IT - Management of Third Party Services
Risk Description:	Non-deliverance of services by the service providers in line with the expectations and requirements of the municipality.
Root Cause:	Lack of defined service level agreements with certain service providers. Poor contract management processes. Failure to monitor the implementation of services in line with the Service Level Agreements.
Consequences:	Compromised service delivery. Fruitless and wasteful expenditure. Redundant application systems. Adverse audit opinion.

RISK ASSESSMENT

Impact Rating:	35	Moderate
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	21	Moderate
Control Effectiveness (Current)	45%	Satisfactory
Residual Risk (Current)	11	Minor
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	6	Insignificant
Residual Risk Gap	5	Insignificant

Current Controls

- ◆ Service Level Agreements are drafted with the aid of Legal Services unit.
- ◆ Regular meetings with some service providers.
- ◆ Service Level Agreements for some Critical Applications.
SAMRAS.
Georeality.
Contour Prepaid Vending Electricity.
Metval.
Internet Services.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ SAMRAS User Group. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: IT Manager</i> <i>Start Date: 21/05/2012</i> <i>Due Date : 30/06/2012</i>	Not Started	2012/05/21	2012/06/30
◆ Regular meetings with all service providers. <i>Quartely.</i> <i>Risk Owner: Manager- Corporate Services</i> <i>Action Owner: IT Manager</i>	Not Started	2012/06/01	
◆ Appoint of IT Steering Committee.	In Progress	2012/05/21	2012/06/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

<p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 21/05/2012</i></p> <p><i>Due Date : 30/06/2012</i></p>			
<p>◆ Review Service Level Agreement with current service providers.</p> <p><i>Risk Owner: Municipal Manager</i></p> <p><i>Action Owner: Managers of different business units</i></p> <p><i>Start Date: 02/04/2012</i></p> <p><i>Due Date : 30/06/2012</i></p>	In Progress	2012/04/02	2012/06/30

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EMnambithi/ Ladysmith Local Municipality

Corporate Services

RISK ANALYSIS

Risk Context:	Health and Safety / Security Risks
Risk Name:	Human Resource: Employee Assistance Programme
Risk Description:	Ineffective implementation of Employee Assistance Programme.
Root Cause:	Lack of awareness and buy-in by employees. Lack of confidentiality. Lack of attendance of HIV/AIDS Steering Committee meetings.
Consequences:	High rate of absenteeism. Low staff morale (Excessive work load). High stress levels. Poor performance and productivity. High disciplinary rate.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	10	Insignificant
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	3	Insignificant
Residual Risk Gap	7	Insignificant

Current Controls

◆ Employee Assistance Programme Awareness.
◆ HIV/AIDS Steering Committee.
◆ Employee Assistance Programme Policy.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Disaster Recovery/Business Continuity Risk
Risk Name:	IT - Information Security
Risk Description:	Exposure of critical data and systems to acts of irregularity such as hacking and system attacks, internet and e-mail misuse, manipulation of critical data, etc.
Root Cause:	<p>Implementation of obsolete technology.</p> <p>Inadequate user awareness and training.</p> <p>Less efforts towards implementing and managing preventative measures.</p> <p>Loss of unprotected media storage devices.</p> <p>Installation and utilisation of malicious, illegal or unauthorized software by users.</p>
Consequences:	<p>Unauthorised access to sensitive information.</p> <p>Compromised information security.</p> <p>Financial loss due to fraud.</p> <p>Reputation damage.</p> <p>Litigation.</p>

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	10	Insignificant
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	10	Insignificant
Residual Risk Gap	0	Insignificant

Current Controls

- ◆ E-mai/Internet & Network Access Forms.
Approval of access to the e-mail, internet and network has to be approved by the manager of the respective division.
Users are also required to acknowledge through a signature to comply with the municipal rules of use of information systems resources.
- ◆ Password controls.
- ◆ IT Security Policy.
- ◆ Proxy Server.
- ◆ Communication Policy.
- ◆ Firewall Systems.
- ◆ Anti-Virus Systems.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
<ul style="list-style-type: none"> ◆ Awareness training and Workshop for employees. <i>Risk Owner: Manager- Corporate Services</i> <i>Action Owner: IT Manager</i> <i>Start Date: 30/09/2013</i> 	Not Started	2012/05/21	2013/09/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

<p><i>Due Date : 30/05/2013</i></p>			
<p>◆ ICT Security Policy to be signed by employees.</p> <p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 21/05/2012</i></p> <p><i>Due Date : 30/06/2012</i></p>	In Progress	2012/05/21	2012/06/30
<p>◆ IT Strategy.</p> <p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 21/05/2012</i></p> <p><i>Due Date : 30/06/2012</i></p>	In Progress	2012/05/21	2012/06/30
<p>◆ Approval of Back Up Policy.</p> <p><i>Risk Owner: Manager- Corporate Services</i></p> <p><i>Action Owner: IT Manager</i></p> <p><i>Start Date: 21/05/2012</i></p> <p><i>Due Date : 30/06/2012</i></p>	Not Started	2012/05/21	2012/06/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Engineering

RISK ANALYSIS

Risk Context:	Project Risks
Risk Name:	Business Support: Project Management-Monitoring
Risk Description:	Ineffective project management.
Root Cause:	Lack of capacity and resources. Undue pressure from different stakeholders. Shift in priorities.
Consequences:	Poor service delivery. Community unrest. Tarnished image of the Municipality. Delays in implementation and finalisation of projects. Financial loss due to substandard quality. Non compliance with legislation.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	10	Insignificant
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	3	Insignificant
Residual Risk Gap	7	Insignificant

Current Controls

◆ General Conditions of contract.
◆ Monitoring and Supervision.
◆ Contract Register.
◆ Supply Chain Management Policies and Procedures.
◆ Progress Reports.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Office of the Mayor

RISK ANALYSIS

Risk Context:	Governance, Compliance/Regulatory and Reputational Risks
Risk Name:	Business Support: Municipal Public Accounts Committee
Risk Description:	Ineffective functioning of Municipal Public Accounts Committee (MPAC).
Root Cause:	Non preparation prior to meetings. Misunderstanding of roles and responsibilities. Limited Legislation requirement.
Consequences:	Poor quality advise from committees. Failure to improve Municipality's systems of internal controls.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	36	Major
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	10	Insignificant
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	3	Insignificant
Residual Risk Gap	7	Insignificant

Current Controls

- ◆ Terms of References.
- ◆ Schedule of Meetings.
- ◆ Agendas Distributed 3 Days Prior to Meetings.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
◆ Training of Municipal Public Accounts Committee Members. <i>Risk Owner: Municipal Manager</i> <i>Action Owner: Municipal Manager</i> <i>Start Date: 28/08/2012</i> <i>Due Date: 30/06/2013</i>	Not Started	2012/08/28	2013/06/30

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Economic Development

RISK ANALYSIS

Risk Context:	Infrastructure Risks
Risk Name:	Infrastructure: Municipal Facilities Safeguarding
Risk Description:	Failure to safeguard Municipal facilities.
Root Cause:	Lack of awareness/ownership. Criminal elements.
Consequences:	Financial loss. Vandalism. Poor service delivery.

RISK ASSESSMENT

Impact Rating:	35	Moderate
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	28	Moderate
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	8	Insignificant
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	2	Insignificant
Residual Risk Gap	5	Insignificant

Current Controls

- ◆ Surveillance Cameras.
- ◆ Caretakers.
- ◆ Alarm Systems.
- ◆ Security.

Action Plans & Accountability

Task Name <i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>	Status	Start Date	Due Date
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Finance

RISK ANALYSIS

Risk Context:	Governance, Compliance/Regulatory and Reputational Risks
Risk Name:	Financial Management: Tender Awards
Risk Description:	Awarding of tenders to people/suppliers in the employ of the state.
Root Cause:	Limited access to Companies and Intellectual Property Commission database(CIPC). Limited access to national employment databases. Unethical behaviour by state employees. Lack of declaration of interest at the database registration stage.
Consequences:	Irregular expenditure. Tarnished image of the organisation.

RISK ASSESSMENT

Impact Rating:	35	Moderate
Likelihood Rating:	80%	Likely
Inherent Risk Rating:	28	Moderate
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	8	Insignificant
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	2	Insignificant
Residual Risk Gap	5	Insignificant

Current Controls

◆ Declarations by Staff and Service Providers.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
<i>Description</i> <i>Risk Owner</i> <i>Action Owner</i>			
◆ No future action plan.	Not Started		

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Corporate Services IT

RISK ANALYSIS

Risk Context:	Governance, Compliance/Regulatory and Reputational Risk
Risk Name:	IT - Physical Access and Environmental Controls
Risk Description:	Exposure of critical data and IT Assets to damage or loss.
Root Cause:	Lack of server rooms standards. Financial constraints.
Consequences:	Loss or damage to IT infrastructure. Loss of critical data.

RISK ASSESSMENT

Impact Rating:	60	Major
Likelihood Rating:	40%	Unlikely
Inherent Risk Rating:	24	Moderate
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	7	Insignificant
Control Effectiveness (Desired)	70%	Good
Residual Risk (Desired)	7	Insignificant
Residual Risk Gap	0	Insignificant

Current Controls

- ◆ Biometrics Access Controls.
- ◆ Environmental Controls.
 - Access Control Register.
 - Smoke Detectors (sms sent incase of smoke).
 - Fire Extinguishers.
 - Server Area closed with aluminium frame with a lockable sliding door and shatter proof glass.
 - Airconditioner.
 - Servers have been stored in metal lockable rack units.
 - No windows.

Action Plans & Accountability

Task Name Description Risk Owner Action Owner	Status	Start Date	Due Date
◆ Procurement of Server. Risk Owner: Manager- Corporate Services Action Owner: IT Manager Start Date: 17/04/2012 Due Date : 18/05/2012	Complete	2012/04/17	2012/05/18
◆ Procurement of Fire Supression System. Risk Owner: Manager- Corporate Services Action Owner: IT Manager Start Date: 21/05/2012 Due Date : 31/07/2013	Not Started	2012/05/21	2013/07/31
◆ Procurement of Generator. Risk Owner: Manager- Corporate Services Action Owner: IT Manager Start Date: 21/05/2012	Not Started	2012/05/21	2013/07/31

Section D - Risk Analysis and Risk Assessment

EMnambithi/ Ladysmith Local Municipality

Corporate Services IT



Due Date : 31/07/2013

Section D - Risk Analysis and Risk Assessment



EMnambithi/ Ladysmith Local Municipality

Public Safety

RISK ANALYSIS

Risk Context:	Process/Operational Risks
Risk Name:	Business Process: Traffic Services.
Risk Description:	High rate of accidents.
Root Cause:	Damage/theft of signage. Substance abuse. Defects on traffic signals. Invisible/substandard road markings. Misinterpretation of road traffic rules. Unlicensed/unauthorised drivers. Reckless and negligent driving Poor maintenance of the roads.
Consequences:	Loss of life and property. High replacement cost. High rate of claims against the Municipality.

RISK ASSESSMENT

Impact Rating:	35	Moderate
Likelihood Rating:	60%	Moderate
Inherent Risk Rating:	21	Moderate
Control Effectiveness (Current)	70%	Good
Residual Risk (Current)	6	Insignificant
Control Effectiveness (Desired)	90%	Very Good
Residual Risk (Desired)	2	Insignificant
Residual Risk Gap	4	Insignificant

Current Controls

◆ Repairs and Maintenance of Street Furnisher.
◆ Road Traffic Signs.
◆ Traffic Calming Measures.
◆ Road Blocks.
◆ Traffic Prosecution for Offenders.
◆ Red Robot Violations.
◆ Traffic Officer/Law Enforcement.

Action Plans & Accountability

Task Name	Status	Start Date	Due Date
Description Risk Owner Action Owner			
◆ No future action plan.	Not Started		