

## Errors, omissions & delays

Feb-22

### Risk Context

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff. Examples include;

- Incorrect planning, development, building, community safety and Emergency Management advice
- Incorrect health or environmental advice
- Inconsistent messages or responses from Customer Service Staff
- Any advice that is not consistent with legislative requirements or local laws.
- Human error
- Inaccurate recording, maintenance, testing or reconciliation of data.
- Inaccurate data being used for management decision-making and reporting.
- Delays in service to customers

*This excludes process failures caused by inadequate / incomplete procedural documentation - refer "Inadequate Document Management Processes".*

### Potential causes include:

|  |                               |
|--|-------------------------------|
| Human error  | Incorrect information         |
| Inadequate formal procedures or training                       | Miscommunication              |
| Lack of trained staff  | Work pressure / stress        |
| Poor use of check sheets / FAQ's                               | Lack of understanding         |
| Unrealistic expectations from community, council or management | Health issues                 |
| Poor internal communication between teams                      | Historical decisions / advice |
| Disconnect between financial receipting and systems            | Complex legislation           |
| Changes to legislation   |                               |

### Controls Assurance

| Key Controls   | Type         | Date    | Rating    | Control Owner |
|--|--------------|---------|-----------|---------------|
| Documented information sheets / website information / FAQ's to assist in providing advice to customers | Preventative | Ongoing | Adequate  | CEO           |
| External consultants such as legal   | Preventative | Ongoing | Effective | CEO           |
| External stakeholder communications (website, news articles)   | Preventative | Ongoing | Effective | CEO           |
| Staff training program (mentoring, formal & on-the-job)  | Preventative | Jul-21  | Effective | DCEO / MWS    |
| Draw information from other Government agencies (DPaW, DWER, DOW)                                      | Preventative | Jul-19  | Adequate  | CEO           |
| Complaints resolution process  | Recovery     | Jul-19  | Adequate  | CEO           |
|  |              |         |           |               |
|  |              |         |           |               |

**Overall Control Ratings:** Adequate

| Actions | Due Date | Responsibility | Status of Actions |
|---------|----------|----------------|-------------------|
|         |          |                |                   |
|         |          |                |                   |
|         |          |                |                   |
|         |          |                |                   |

| Consequence Category    | Risk Ratings                 | Rating       | Has the Risk Rating Changed since the last review |
|-------------------------|------------------------------|--------------|---|
| Reputation / Compliance | <b>Consequence:</b>          | Major (4)    | No  |
|                         | <b>Likelihood:</b>           | Unlikely (2) | No  |
|                         | <b>Overall Risk Ratings:</b> | Moderate     | Risk rating trend since last review               |

| Indicators  | Type    | Benchmark | Result |
|---|---------|-----------|--------|
| Insurance claims  | Lagging | <2        | 0      |
| Poor community feedback   | Leading | <10       |        |
| Referral to SAT/Ombudsman/Council for resolution  | Lagging | <2        |        |
| Substantiated complaints regarding errors, omissions, delays or inaccurate advice / information | Lagging |           |        |
|   |         |           |        |

| Comments | Comments |
|----------|----------|
|          |          |