## Draft - Anti-Dumping Commission Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	2018-20 Fraud Risk Assessment
Branch/Division	Draft - Anti-Dumping Commission
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies.
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	
Date last reviewed	5 April 2019
Assessment conducted by List all contributors	s 22
Clearance by (as per the risk action table)	Paul Sexton (Acting Commissioner)

	Risk identif	ication	Controls		Analysis		Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Ris	Risk reference card		Risk owner	Is risk	Accept risk?
Risk reference card	Describe the risk or event (what can happen)  • List the cause (what will cause the event to occur?)  • Are any of the risks a shared risk?  • Are there any constitutional	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans Include controls for shared risks Tip—is there a corresponding control for each cause of risk?	Likelihood	Consequence	Risk rating	Risk action table Person/s responsible for managing the risk Include shared risk owners	within tolerance? Risk tolerance	Risk action table No - Complete Treatment plan Yes - Optional Treatment
	risks? Tip—Undertake a PESTLE or SWOT analysis to help define risks								plan



## AusIndustry - Industry Capability Research Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	D2018-20 Fraud Risk Assessment
Branch/Division	AusIndustry - Industry Capability Research
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Fraud team that the identified fraud risks faced by the AusIndustry - Industry Capability and Research division have a regular assessment and review of proposed risk treatment strategies.
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	AusIndustry – Industry Capability and Research delivers a range of programs that focus on driving industry growth and development for target sectors and encouraging research investment. The division interacts with industry, research organisations and universities, as well as businesses. Interactions through the division include providing services, grant funding and tax concessions.
Date last reviewed	
Assessment conducted by List all contributors	
Clearance by (as per the risk action table)	

Risk identification			Controls		Analysis		Owner	Evaluation			
Category	Description	Consequence	Current control(s)	Risk reference card		Risk reference card		Risk reference card		Is risk	Accept risk?
Risk reference card	•	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans Include controls for shared risks Tip—is there a corresponding control for each cause of risk?		Consequence		Risk owner  Risk action table  Person/s responsible for managing the risk  Include shared risk owners	within tolerance ? Risk tolerance	Risk action table  No - Complete Treatment plan Yes - Optional Treatment plan		

## Draft – AusIndustry - Support for Business Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	Draft 2018-20 Fraud Risk Assessment
Branch/Division	Draft – AusIndustry - Support for Business
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To assure to the Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	<ul> <li>AusIndustry has undergone a structural realignment based on the 'Mandate for Change', Mark Evans report and other portfolio strategic reviews</li> <li>The government needs to meet the expectations of a modern public sector (with customers at the centre of everything we do)</li> <li>Reform implementation and continuous improvement are complex and impact on workforce requirements</li> <li>The department is managing service delivery across a distributed network</li> </ul>
Date last reviewed	31 May 2019
Assessment conducted by List all contributors	AusIndustry – Support for Business Executive Officer  AusIndustry – Support for Business Assurance Manager
Clearance by (as per the risk action table)	AusIndustry – Support for Business Executive Committee

Risk identification			Controls		Analysis		Owner	Eva	luation		
Category	Description	Consequence	Current control(s)	Risk reference card		Risk reference card		Risk reference card		Is risk	Accept risk?
Risk reference card	Describe the risk or event (what can happen)  List the cause (what will cause the event to occur?)  Are any of the risks a shared risk?  Are there any constitutional risks?  Tip—Undertake a PESTLE or SWOT analysis to help define risks	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans Include controls for shared risks Tip—is there a corresponding control for each cause of risk?	Likelihood	Consequence	Risk rating	Risk action table Person/s responsible for managing the risk Include shared risk owners	within tolerance ? Risk tolerance	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan		

### **Corporate Division**

### Corporate Division Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	Corporate Division 2018-20 Fraud Risk Assessment
Branch/Division	Corporate Division
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	Corporate Division encompasses the department's financial services, budget, fleet and asset management, accounting, communications, legal, audit and fraud, parliamentary and corporate shared services functions. Corporate is in a unique position as it has responsibility for many of the policies and frameworks that provide the internal controls to manage the majority of fraud risk across the department. It also conducts strategic and core business activities to support the department to achieve its outcomes. This risk profile consider the fraud risks relevant to Corporate delivering its work plan to support of organisational objectives.
Date last reviewed	June 2019
Assessment conducted by List all contributors	Corporate GMs supported by: \$ 22
Clearance by (as per the risk action table)	Corporate Division Executive

		Risk identification	Controls		Analysis		Owner	Evalu	ation						
Category	Description	Consequence	Current control(s)	Risk reference card		Risk reference card		Risk reference card		Risk reference card		Risk reference card		Is risk within	Accept risk?
Risk reference card	Describe the risk or event (what can happen)  List the cause (what will cause the event to occur?)  Are any of the risks a shared risk?  Are there any constitutional risks?  Tip—Undertake a PESTLE or SWOT analysis to help define risks	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans Include controls for shared risks Tip—is there a corresponding control for each cause of risk?	Likelihood	Consequence	Risk rating	Risk action table Person/s responsible for managing the risk Include shared risk owners		Risk action table No - Complete Treatment plan Yes - Optional Treatment plan						



## Draft – Digital Strategy & Operations Division Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	Draft 2018-20 Fraud Risk Assessment
Branch/Division	Draft – Digital Strategy & Operations Division
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	
Date last reviewed	23 April 2019
Assessment conducted by List all contributors	s 22 Nathan Hannigan, s 22
Clearance by (as per the risk action table)	Rebecca Lee, CIO, Digital Strategy & Operations

	Risk identification		Controls		Analysis		Owner	Evaluation	
Category Risk reference card	Description Describe the risk or event (what can happen) List the cause (what will cause the event to occur?) Are any of the risks a shared risk? Are there any constitutional risks? Tip—Undertake a PESTLE or SWOT analysis to help define risks	Consequence What are the impacts of this occurring?	Current control(s)  Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans Include controls for shared risks  Tip—is there a corresponding control for each cause of risk?	Ri Likelihood	Consequence	Risk rating	Risk owner Risk action table Person/s responsible for managing the risk Include shared risk owners	Is risk within tolerance? <u>Risk</u> tolerance	Accept risk?  Risk action table  No - Complete Treatment plan Yes - Optional Treatment plan



### Draft – Economics & Analytical Services Fraud Risk Assessment and Treatment Plan 2018–20

#### **Risk Assessment**

Program/Project/Activity	Draft 2018-20 Fraud Risk Assessment
Branch/Division	Draft – Economics & Analytical Services
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies
Context	
List internal and external factors that influence this risk in relation to achieving objectives	
Date last reviewed	29 <sup>th</sup> April 2019
Assessment conducted by List all contributors	s 22
Clearance by (as per the risk action table)	Mark Cully, Head of Division

Risk identification		fication	Controls		Analysis		Owner	Eva	luation		
Category	Description	Consequence	Current control(s)	Ri	Risk reference card		Risk reference card		Risk owner	Is risk	Accept risk?
Risk	Describe the risk or event (what can	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems; technology;				Risk action table	within	Risk action		
reference	happen)		quality improvement plans				Person/s responsible for	tolerance	<u>table</u>		
card	List the cause (what will cause		Include controls for shared risks				managing the risk	?	No - Complete		
	the event to occur?)		Tip—is there a corresponding control for each cause of risk?				Include shared risk	Risk	Treatment plan		
	Are any of the risks a shared			Likelihood	Consequence	Risk rating	owners	tolerance	Yes – Optional		
	risk?								Treatment plan		
	Are there any constitutional risks?										
	Tip—Undertake a PESTLE or SWOT analysis to help define risks										

## Draft – Industry Growth Division Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	Draft 2018-20 Fraud Risk Assessment
Branch/Division	Draft – Industry Growth Division
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the departmental Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies.
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	None of the risks are specific to the division and many primarily rely on systems and procedures held by Corporate and DSO Divisions.
Date last reviewed	April 2018
Assessment conducted by List all contributors	s 22 , all EL2s in division and SES staff David Lawrence and Gary Richards
Clearance by (as per the risk action table)	Trevor Power

	Risk ident	ification	Controls		Analysis		Owner	Evaluation			
Category	Description	Consequence	Current control(s)	<u>R</u>	Risk reference card		Risk reference card		Risk owner	Is risk	Accept risk?
Risk reference card	Describe the risk or event (what can happen)  List the cause (what will cause the event to occur?)	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans Include controls for shared risks Tip—is there a corresponding control for each cause of risk?				Risk action table Person/s responsible for managing the risk Include shared risk	within tolerance ? Risk	Risk action table No – Complete Treatment plan		
	Are any of the risks a shared risk?		TIP—IS there a corresponding control for each cause of Tisk:	Likelihood	Consequence	Risk rating		tolerance	Yes – Optional Treatment plan		
	<ul> <li>Are there any constitutional risks?</li> </ul>										
	Tip—Undertake a PESTLE or SWOT analysis to help define risks										

# National Measurement Institute Risk assessment and treatment plan 2019–20

### **Risk Assessment**

Program/Project/Activity	2019-20 Fraud Risk Assessment						
Branch/Division	National Measurement Institute						
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the AAC that the identified high and medium fraud risks faced by the Department of Industry, Innovation and Science have a regular review of proposed risk treatment strategies.						
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	MII is Australia's peak measurement body. It provides a range of measurement, regulatory and analytical services to industry, state, territory and Commonwealth governments. NMI operates cross a number of locations, with major measurement facilities located at Lindfield and North Ryde in Sydney, Geebung in Brisbane and in Port Melbourne in Melbourne. Other trade measurement ffices are located in all states and territories. NMI is funded by both appropriation (mainly for its legally mandated measurement and regulatory activities) and income generated from its services around \$30 million per annum). NMI is the custodian of high value, sensitive reference materials (such as heroin), forensic drugs, drug testing samples from elite athletes, testing samples and test esults (eg food testing) that could result in sanctions or criminal prosecution. In the case of trade measurement activities, infringement notices for non-compliance with the <i>National Measurement</i> activities.						
Date last reviewed	April 2019						
Assessment conducted by List all contributors	Ann Bray, General Manager – Engagement and Business Development Branch, Jan Herrmann, General Manager – Physical Metrology Branch, Bill Loizides – General Manager, Legal Metrology Branch, s 22 – Manager, Analytical Services Branch, s 22 – Director, Australian Sports Drug Laboratory, s 22 – Manager, Canberra Office, s 22 , Manager – Business Sustainability						
Clearance by (as per the risk action table)	Dr Bruce Warrington, Chief Metrologist and a/g Chief Executive Officer						

	Risk id	entification	Controls	Analysis			Owner	Evaluation					
Category	Description	Consequence	Current control(s)	<u></u>	Risk reference card		Risk reference card		Risk reference card		Risk owner	Is risk	Accept risk?
Risk	Describe the risk or event	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems; technology;				Risk action table	within	Risk action table				
reference	(what can happen)		quality improvement plans				Person/s	toleranc	No – Complete				
card	List the cause (what will		Include controls for shared risks				responsible for	e?	Treatment plan				
	cause the event to occur?)		Tip—is there a corresponding control for each cause of risk?				managing the risk	Risk	<b>Yes</b> – Optional				
	Are any of the risks a						Include shared risk	toleranc	Treatment plan				
	shared risk?			Likelihood	Consequence	Risk rating	owners	<u>e</u>					
	Are there any												
	constitutional risks?												
	Tip—Undertake a PESTLE or												
	SWOT analysis to help define												
	risks												

## Northern Australia and Major Projects Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	Draft 2018-20 Fraud Risk Assessment
Branch/Division	Northern Australia and Major Projects
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	The Northern Australia and Major Projects (NAMP) division is responsible for harnessing the department's capacity, skills and experience in managing major projects, attracting investment and assisting industry to meet the Australian Government's objective for economic sustainability and growth. The three branches within the division; Major Projects Branch, National Radioactive Waste Management Facility Taskforce and Office of Northern Australia; interact with national and international organisations and governments to draw from previous experience in policy and implementation, major project investments, and nuclear and radioactive waste management.
Date last reviewed	29 April 2019
Assessment conducted by List all contributors	Anne-Marie Wilson, Sam Chard, Nick Purtell, S 22 , Mark Coffey, S 22 , Sam Reinhardt
Clearance by (as per the risk action table)	COO, Corporate Division CIO, Digital Strategy & Operations Division

	Risk identi	fication	Controls		Analysis	Owner	Eva	luation
Category Risk reference card	Description  Describe the risk or event (what can happen)  List the cause (what will cause the event to occur?)  Are any of the risks a shared	tion Consequence event (what can What are the impacts of this occurring? that will cause ur?)	Current control(s)  Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans Include controls for shared risks Tip—is there a corresponding control for each cause of risk?		isk reference ca	Risk owner Risk action table Person/s responsible for managing the risk Include shared risk	Is risk within tolerance ? Risk tolerance	Accept risk?  Risk action table  No - Complete Treatment plan  Yes - Optional
	risk?  • Are there any constitutional risks?  Tip—Undertake a PESTLE or SWOT analysis to help define risks							Treatment plan



### Questacon

### Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	2018-20 Fraud Risk Assessment
Branch/Division	Questacon
Objective/Purpose	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by the Questacon as a division of the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies  As Australia's National Science and Technology Centre, Questacon's vision is for a better future for all Australians through engagement with science, technology and innovation. Questacon's assets comprise the Questacon science centre building in the National Parliamentary Zone, the lan Potter Foundation Technology Learning Centre in Deakin ACT, a suite of travelling exhibitions, world class informal learning engagement programs, and above all a creative, loyal, passionate and diverse workforce working in partnership with some of Australia's leading organisations. Questacon's core product is hands-on exhibits, science shows and people to people interaction offering high quality inspirational learning and science communication. Questacon's activities are based in Canberra with outreach programs extending across Australia working with partners to reach millions of Australians each year. Questacon runs the Inspiring Australia initiative developed to provide leadership and national coordination of science communication and to maximise the Government's efforts to engage the community in science through business and community support. Questacon also leads international engagement in the science centre sector, at a level commensurate with national cultural institutions across the globe. Questacon operates with a mix of government funding and income earned through ticket and shop sales, exhibition hire and sponsorship. An Advisory Council appointed by the Minister provides advocacy, advice and connectivity to the Executive of Questacon. A new Questacon Foundation, once established, will help extend Questacon's reach into geographically and socially isolated communities through philanthropic support.
Date last reviewed	2016
Assessment conducted by	s 22 , a/g Senior Manager Strategic Engagement and Advancement and the Senior Managers of Questacon, supported by Corporate Risk team.
	Cleared through Deputy Director of Science and Learning, Dr Bobby Cerini and Deputy Director of Operations, Kate Driver.
Clearance by	Professor Graham Durant

	Risk ide	entification	Controls	Analysis			Owner	Evalu	uation		
Category	Description	Consequence	Current control(s)		Risk reference card		Risk reference card		Risk owner	Is risk within	Accept risk?
Risk	Describe the risk or event (what can	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees;				Risk action table	tolerance?	Risk action		
reference	happen)		systems; technology; quality improvement plans						<u>table</u>		
card	List the cause (what will cause the		Include controls for shared risks				for managing the risk		No – Complete		
	event to occur?)		Tip—is there a corresponding control for each cause of risk?	Likelihoo	Consequence	Risk rating	Include shared risk		Treatment plan		
	Are any of the risks a shared risk?			d			owners		<b>Yes</b> – Optional		
	Are there any constitutional risks?								Treatment plan		
	Tip—Undertake a PESTLE or SWOT										
	analysis to help define risks										

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### **Risk Assessment**

Program/Project/Activity	Draft 2018-20 Fraud Risk Assessment
Branch/Division	Resources Division
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	
Date last reviewed	16 May 2019
Assessment conducted by List all contributors	Resources Division EL2s, General Managers and Head of Division
Clearance by (as per the risk action table)	Head of Division

Risk identification			Controls		Analysis		Owner	Evalu	ation
Category	tegory Description Consequence		Current control(s)	Ris	k reference car	<u>d</u>	Risk owner	Is risk within	Accept risk?
Risk	Describe the risk or event (what can	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems;				Risk action table	tolerance?	Risk action
<u>reference</u>	happen)		technology; quality improvement plans Include controls for shared risks				Person/s responsible	Risk tolerance	<u>table</u>
card	List the cause (what will cause the						for managing the risk		No – Complete
	event to occur?)		Tip—is there a corresponding control for each cause of risk?	Likelihood	Consequence	Risk	Include shared risk		Treatment plan
	• Are any of the risks a shared risk?			Likeiiiioou	Consequence	rating	owners		<b>Yes</b> – Optional
	• Are there any constitutional risks?								Treatment plan
	Tip—Undertake a PESTLE or SWOT								
	analysis to help define risks								



## Science & Commercialisation Policy Division Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	[Check whether 2018-20 Fraud Risk Assessment OR PBS Reference]
Branch/Division	Science & Commercialisation Policy Division
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by Science and Commercialisation Policy Division of the Department of Industry, Innovation and Science, are regularly assessed to inform review as necessary of proposed risk treatment strategies.
<b>Context</b> List internal and external factors that influence this risk in relation to achieving objectives	Internal business planning processes and the election result will not be finalised before this plan is finalised. These factors will influence divisional activities and associated fraud risks and treatments. The division will reassess risks and treatments after divisional activities have been clarified, anticipated in June 2019.
Date last reviewed	15 May 2019
Assessment conducted by List all contributors	Gino Grassio, Jonathan Rogers, S 22 , Claire Forsyth and Jane Urquhart
Clearance by (as per the risk action table)	Jane Urquhart

Risk identification			Controls Analysis		Owner	Eva	luation				
Category	Description	Consequence	Current control(s)	R	Risk reference card		Risk reference card		Risk owner	Is risk	Accept risk?
Risk	Describe the risk or event (what can	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees;				Risk action table	within	Risk action table		
reference	happen)		systems; technology; quality improvement plans				Person/s responsible	tolerance?	No – Complete		
card	List the cause (what will cause the		Include controls for shared risks				for managing the risk	Risk	Treatment plan		
	event to occur?)		Tip—is there a corresponding control for each cause of risk?	Likelihood	Consequence	Risk rating	Include shared risk	<u>tolerance</u>	<b>Yes</b> – Optional		
	Are any of the risks a shared risk?			Lincillood	consequence	Misk ruting	owners		Treatment plan		
	Are there any constitutional risks?										
	Tip—Undertake a PESTLE or SWOT										
	analysis to help define risks										

### **Draft – Strategic Policy**

### Fraud Risk Assessment and treatment plan 2018–20

### **Risk Assessment**

Program/Project/Activity	Draft 2018-20 Fraud Risk Assessment
Branch/Division	Draft – Strategic Policy
Objective/Purpose State the objective to which the risk plan relates. Describe intent, purpose and outcomes	To provide assurance to the Assurance and Audit Committee that the identified fraud risks faced by the Department of Industry, Innovation and Science, have a regular assessment and review of proposed risk treatment strategies
Context List internal and external factors that influence this risk in relation to achieving objectives	<ul> <li>The Minister and Senior Executive and Divisional executive team</li> <li>Change of government and Machinery of Government</li> <li>Internal restructure</li> </ul>
Date last reviewed	01/04/2019
Assessment conducted by List all contributors	General Managers and Danielle Cassidy. Supported by Fraud Integrity & Assurance Team
Clearance by (as per the risk action table)	Dr Chris Locke

	Risk ident	ification	Controls		Analysis		Owner	Eva	aluation
Category	Description	Consequence	Current control(s)	<u>R</u>	isk reference ca	ırd	Risk owner	Is risk	Accept risk?
Risk	Describe the risk or event (what can	What are the impacts of this occurring?	Such as existing policies; procedures; practice; governance committees; systems; technology;				Risk action table	within	Risk action
reference	happen)		quality improvement plans				Person/s responsible for	tolerance	<u>table</u>
card	List the cause (what will cause		Include controls for shared risks				managing the risk	?	No – Complete
	the event to occur?)		Tip—is there a corresponding control for each cause of risk?				Include shared risk	Risk	Treatment plan
	Are any of the risks a shared			Likelihood	Consequence	Risk rating	owners	tolerance	<b>Yes</b> – Optional
	risk?				·				Treatment plan
	• Are there any constitutional risks?								
	Tip—Undertake a PESTLE or SWOT analysis to help define risks								

DISER - Released under the FOLACT LEX 67849 Limited Distribution Divisional Fraud Risk Assessment 2016-18 - National Innovation and Science Agenda Delivery Unit Division: HOD Approval/Clearance: Date Approved: nsert Name of GM who approved/cleared this DFRA] Risk Identification Risk Treatment Monitoring and Review General
Comments
Herae include
the learner for learner for the learner for Residual fraud risk rating (Use drop down It Current frauc Fraud Risk
Statement
Identify possible
sources of fraud riskinternal and external Treatment Owner
Who is responsible for
implementing the proposed
treatment (Role e.g. HOD,
Name of Division)? Division/Branch Source/area identifying the fraud risk Fraud Risk Categories (Use drop down list) Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk? Consequences

What are the impacts of this occurring?

Existing Controls

What is currently done to manage this froud risk? Causes Why and how might this occur? Target date to implement

s 47E(a), s 47E(d)

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Page 14 of 30

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Divisional Fraud Risk Assessment 2016-18 - NMI Division

	ion: Approval/Clearar Approved:	nce:	National Measurement Institute (NMI) Division (Insert Name of HoD who approved/cleared this DFRA)									
			Risk Identification			Risk Analysis		Risk Treatment		Monito	oring and Review	
Risl No.	Division/Bran ch Source/area identifying the fraud risk	Statement Identify possible sources of fraud risk- internal and external	Causes Why and how might this occur?	Fraud Risk Categories (Use drop down list) [Moy need updating]	Fraud risk type line representation  Consequences  What are the Impacts of this occurring?  The type of the Consequences  The type of the Consequences	Existing Controls. What is currently done to manage this froud risk?	20	What additional strategies/treatments can	Due Date Target date to implement	treatment (Role e.g. HOD, Name of Division)?	Plei ger pro acc Fraud Risk Owner higi	heral Comments see include any eral comments e.g. vide to hirfy reason for opting any risks rated or a rabove without her mitigation tegies

s 47E(a), s 47E(d)

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Page 15 of 30

Division: HOD Approval/Clearance: Date Approved:	Office of Northern Australia Division [lasert Name of GM who approved/cleared this DFRA]									
	Risk Identification		Risk Analysis		Risk Treatment			Monitoring and Re	eview	
Ovision/Branch Risk No. Standfring the standfring the standfring the stand of a stand not stand of a stand stand of a stand S 47E(a), S 47E(d)	Causes Why and how might this occur?	Fraud Risk Categories  (the drop down list)  [May need updating]  [May need updating]		Current fraud risk rating (Use drop down list)  Cousedneuce a country of the coun	Proposed Strategies/Treatments What additional strategies/treatments can	ati.	Due Date Target Who is date to implement treatme	menting the proposed nent (Role e.g. HOD, of Division)?	general e.g. pro brief re- gccepti	nents Include any Include any Include any Include any Include a In

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Page 16 of 30

Division: HOD Approval/Clearance: Date Approved:	Questacon Division  Kate Driver (Deputy Director and GM Operations)					
	Risk Identification		Risk Analysis		Risk Treatment	Monitoring and Review
Division/Bran Risk Sauce/oreo No. Source/oreo intend/ping the fraud disk  activities  fraud disk		Fraud Risk Fraud Risk Categories (Inter drop down last)  Government  Grade Risk  Grade Ris	Existing Controls What is currently done to manage this flaud disk?	Current fracting fractions and the state of	Proposed Strategies/Treatments What additional Strategies/Treatments can be	Treatment Owner Who is responsible for implementing Target date to implement the improposed terminer flow, owner of who is responsible for implementing traget date to implement the Owner of which is accountable which is accountable the owner that is the owner that the owner t

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Page 17 of 30

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Divisional Fraud Risk Assessment 2016-18 - Resources Division

Division: HOD Approval/Clearance: Date Approved:	Resources Division [Insert Name of GM who approved/cleared this DFRA]								
	Risk Identification		Risk Analysis		Risk Treatment		Monitoring a	and Review	
Black the characteristic paragraph of the characteristic parag	ces Counter  May and how might this occur?	Fraud Risk Chategories  Alloy need updating   May need updating	Bolisting Controls What is currently done to manage this found risk?	1	Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this froud	Due Date Target date implement	treatment (Role e.g. HOD, Name of Division)?		without further

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Divisional Fraud Risk Assessment 2016-18 - Science Commercialisation Policy Division

но	sion: O Approval/C e Approved:			Science & Commercialisation Policy Division [Jassert Name of GM who approved/cleared this DFRA]									
				Risk Identification			Risk Analysis		Risk Treatment		Monitoring and	i Review	
Ris	No. Source	on/Branch e/area identifying	Fraud Risk Statement Identify possible sources of fraud risk - internal and external	Causes Why and how might this occur?	Fraud Risk Categories (Use drop down Rst) (May need updating)	Fraud risk type (Use drop down list)  Consequences What are the impacts of this occurring?		Current fraud risk rating (Use drop down list)  Oursedneuce and respectively and respectively.		Due Date Torget date to implement	treatment (Kole e.g. HUD,	Fraud Risk Owner Who is accountable	General Comments  General Comments  Life in Comm

Division: HOD Appr Date Appr	oval/Clearance: oved:	Portfolio Strategic Policy Division [Insert Name of GM who approved/cleared this DFRA]										
			Risk Identification			Risk Analysis		Risk Treatment		Monitoring and	Review	
Risk No.	Olivision/B Fraud Risk Statem scorecybor schemisproposition score schemisproposition score schemisproposition score schemisproposition schemisproposition and external	rces Causes		Fraud Risk Categories (Use drop down list) (Moy need updating)	Fraud risk type control of the control of the course of th	Establing Controlls while is currently done to manage this freed risk?	Current fr risk ratio	Proposed Strategles/Treatments What additional strategles/treatments	Due Date Target date to	Name of Division)?	Fraud Risk Owner Who is	General Comments Please include any general comments

Division HOD Ap Date Ap	proval/Clearance:		Business Services Division (including Bittab) Chris Busher 2016 25 October 2016							
			Risk Identification		Risk Analysis	Risk Treatment		Monit	oring and Review	
	Source/orea Identifying the froud	Fraud Wisk Statement liberally possible sources of froud risk - loodermal and external	Consists Only and show employ this account?	Found Table  The Part of the P	failating Controls.  What is currently done to manage this fleud risk?		Sidual fraud frisk rating down from len  Due Date Parget implement  10  10  10  10  10  10  10  10  10  1	Trustment Corner  The attention Corner  The argument for implementing the proposition for implementation that proposition determined (falls e.g., POO, Rome of Obtainel)		General Comments: Pirour whate any general comments r.g. rounder a half general for accepting early risks reted high her above without further mitigation erotogius.

Page 21 of 30

н	vision: ID Appro te Appro	oval/Clearance: oved:		Australian Astronomical Observatory (AAO) Division [Insert Name of HoD who approved/cleared this DFRA]											
				Risk Identification				Risk Analysis		Risk Treatment			Monitoring and	Review	
	ik No. Sic	Division/Branch Jource/area Division of the	identify possible sources of fraud risk - internal and external	Why and how might this occur?	Fraud Risk Categories (Use drop down list) [May need updating]	Fraud risk type (I) or External (E) (E) or External (E)	Consequences	Existing Controls What is currently done to manage this froud risk?	Current fra risk rating to the dependent of the condition	Proposed Strategies/Treatments  Whote additional strategies/Treatments can be implemented to manage this froud risk?	ihood	Due Date Target date to jimplement	Name of Division)?	Fraud Risk Owner Who is accountable (Role	General Comments Please include any general comments e.g. provide a brief reason for accepting any risks rated high or above without further mitigation strategies

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Anti-Dumping Commission Fraud Risk Assessment 2016-18

O Approval/Clear e Approved:		Dale Seymour Anti-Dumping Commission				_				
		Risk Identification		Risk Analysis		Risk Treatment		Monitoring and	Review	
Division/Branc h Source/area identifying the fraud risk	Fraud Risk Statement Identify possible sources of froud risk - internal and external	Causes Why and how might this occur?	Fraud Risk Categories [Used drop drown Rist] [Moy need updating] [Moy need updating]  [Moy need updating]  [Moy need updating]	Existing Controls  When a committee to manage this faunt risk?	Consequence Consequence Consequence Corrent risk rating	Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this froud risk?	Due Date Target date to implement	Name of Division)?	Fraud Risk Owner	General Comments Please include any general comments e.g. provide a brief reason for accepting any risks rated high or abone without further mitigation strategies

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Page 23 of 30

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н	ision: D Approval/Clearance te Approved:	:	Australian Building Codes Board Division [Insert Name of GM who approved/cleared this DFRA]										
			Risk Identification			Risk Analysis		Risk Treatment				Monitoring and Review	
Ri	k No. Source/area	Fraud Risk Statement identify possible sources of froud risk - internal and external	Causes Why and how might this occur?	Fraud Risk Categories (Use drop down list) [May need updating]		Existing Controls  What & currently done to manage this fraud risk?	Current f risk rat (the drop do	Proposed Strategies/Treatments What additional strategies/treatments can be	1 1 1	date to implement	Treatment Owner Who is responsible for implementing the proposed treatment folks e.g. HOD, Name of Designary 2		General Comments Please include any general comments e.g. provide a brief reason for accepting any risks rated high or above without further miligation stronging.

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Page 24 of 30

Division: HOD Approval/Clearance: Date Approved:			Corporate Division Margaret Tregurtha									
	Risk Identification			Risk Analysis	Risk Treatment		Monitoring and Review					
Risk No.	h Source/area identifying the fraud risk	Statement	Causes Why and how might this occur?	Fraud Risk Categories (Inde drop down list)  [May need updotring]  [May need updotring]  [May need updotring]	Existing Controls What is currently done to manage this fraud risk?			Consequence Consequence Residual fraud risk rating	Due Date Target V date to implement t	varie of Evraiony.	Fraud Risk Owner	General Comments Flouse include any openeral comments e, provide a brief reason for accepting any risks rated high or above without further mitigation strategies

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Page 25 of 30

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Divisional Fraud Risk Assessment 2016-18 - Digital Strategy Operations Division

но	Division: HOD Approval/Clearance: Date Approved:		Digital Strategy & Operations Division Matthew Boyley 7/10/2016									
			Risk Identi	ification		Ri	isk Analysis	Risk Treatment		Monitoring and	i Review	
Ris No	Source/area identifying the	Fraud Risk Statement Identify possible sources of froud risk- internal and external	Causes Why and how might this occur?		onsequences hat are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk manual programme and the prog	Proposed Strategies/Treatments  What additional strategies/treatments on be	Residual fraud risk rating Consedence Consed	date to implementing the proposed nent treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable	General Comments Please include any general comments e.g. provide a brief reason for accepting any risks rated high arbow without further mitigation strategies

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Page 26 of 30

HC	ision: D Approval/Clearance: te Approved:		omics & Analytical Services Division Cutly										
			Risk Identification		Risk Analysis		Risk Treatment			Monitoring	and Review		
Ris	identifying the	Identify possible	Causes. Why and how might this occur?	Fraud Bluk Categories Like drop down But  May need updating)  May need updating)  May need updating)  May be seed updating)	risk take in Existing Controls	Consequence (consequence consequence conse	Proposed Strategies/Treatments	55	date to			General Comments Please include any general comments e.g. provide a brief reason for accepting any risks rated high or above without further miligation strategies	

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Page 27 of 30

Division: HOD Approval/Clearance: Date Approved:	Sectoral Growth Policy Division [Insert Name of GM who approved/cleared this DFRA]								
	Risk Identification	Risk Analysis		Risk Treatment		Monitoring and Review			
Division/h sended Sisk No.  Bisk No.  In the sended		Fraud Risk type fine fine fine fine fine fine fine fin	Saisting Controls  White is commonly done to manage this finad risk?	w	fr  (Use of  Proposed  Strategies/Treatments  What additional	esidual aud risk ating arting proposed representation of the p	Treatment Owner Who is responsible for some control of the propose tractment field et a., HDD, Name of Division?	e.g. pro brief res occeptii Owner risks rat Who is above v	nents Include any of comments rovide a eason for ting any ated high or without r mitigation

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Page 28 of 30

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Draft Divisional Fraud Risk Assessment 2016-18 - Innovation Programmes Division

Division: HOD Approval/Clearance: Date Approved:			Innovation Programmes Division [Insert Name of HOD who approved/cleared this DFRA]										
			Risk Identification				Risk Analysis		Risk Treatment		м	tonitoring and Review	v
Risk No.	Division/Branch Source/area identifying the fraud risk	Identify possible sources of froud risk - Internal and external	Causes. Why and how might this occur?	Fraud Risk Categories (Use drop dow list!) (May need updating)	쿌	Consequences What are the impacts of this eccurring?	Saisting Controls What a currently done to manage this fraud risk?	Current fa risk statistics of the state of t	Proposed Strategies/Treatments What additional strategies/freatments What additional strategies/freatments which is supplemented to manage this free strategies Strategies/freatments Strategies/freat	Due Date Who ! Target date to propo	on)? W		General Comments Please Include any general comments or, growide a brief, reason for acception on visits rated high above without further mitigation strategis
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Page 29 of 30

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Divisional Fraud Risk Assessment 2016-18 - Resources Division

Division: Resources Division   Division													
			Risk Identification			Risk Analysis	Risk Treatment	Monitoring and Review					
Risk No.	source/area identifying the fraud risk		Cases:  Strip and how might this occur?	raud Risk Categories Use drop down list) Moy need updating)	Fraud risk  What are the impacts of this occurring?  What are the impacts of this occurring?		-	Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this froud	Consequence Consequence Residual fraud risk Lating Tating	Oue Date 'arget date to mplement		Fraud Risk Owner	General Comments Please include any general comments e, provide a brigh reason for accepting any risks rated high or above without further mitigation strategies
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Page 30 of 30