

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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 <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	
Date last reviewed	5 April 2019
Assessment conducted by <i>List all contributors</i>	s 22
Clearance by <i>(as per the risk action table)</i>	Paul Sexton (Acting Commissioner)

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> 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 tolerance	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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.
Context <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	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 <i>List all contributors</i>	
Clearance by <i>(as per the risk action table)</i>	

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> 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 tolerance	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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
Context <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	<ul style="list-style-type: none"> AusIndustry has undergone a structural realignment based on the ‘Mandate for Change’, Mark Evans report and other portfolio strategic reviews The government needs to meet the expectations of a modern public sector (with customers at the centre of everything we do) Reform implementation and continuous improvement are complex and impact on workforce requirements The department is managing service delivery across a distributed network
Date last reviewed	31 May 2019
Assessment conducted by <i>List all contributors</i>	AusIndustry – Support for Business Executive Officer AusIndustry – Support for Business Assurance Manager
Clearance by <i>(as per the risk action table)</i>	AusIndustry – Support for Business Executive Committee

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> List the cause (what will cause the event to occur?) Are any of the risks a shared risk? Are there any constitutional risks? <i>Tip—Undertake a PESTLE or SWOT analysis to help define risks</i>	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 <i>Tip—is there a corresponding control for each cause of risk?</i>	Likelihood	Consequence	Risk rating	Risk action table Person/s responsible for managing the risk Include shared risk owners	Risk tolerance	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

Risk Assessment

Program/Project/Activity	Corporate Division 2018-20 Fraud Risk Assessment
Branch/Division	Corporate Division
Objective/Purpose <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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 <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	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 <i>List all contributors</i>	Corporate GMs supported by: s 22
Clearance by <i>(as per the risk action table)</i>	Corporate Division Executive

Risk identification		Controls		Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
<u>Risk reference card</u>	<i>Describe the risk or event (what can happen)</i> <ul style="list-style-type: none"> List the cause (what will cause the event to occur?) Are any of the risks a shared risk? Are there any constitutional risks? <i>Tip— Undertake a PESTLE or SWOT analysis to help define risks</i>	<i>What are the impacts of this occurring?</i>	<i>Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans</i> <i>Include controls for shared risks</i> <i>Tip—is there a corresponding control for each cause of risk?</i>	Likelihood	Consequence	Risk rating	<u>Risk action table</u> <i>Person/s responsible for managing the risk</i> <i>Include shared risk owners</i>	<u>Risk tolerance</u>	<u>Risk action table</u> <i>No – Complete Treatment plan</i> <i>Yes – Optional Treatment plan</i>

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

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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 <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	
Date last reviewed	23 April 2019
Assessment conducted by <i>List all contributors</i>	s 22 Nathan Hannigan, s 22
Clearance by <i>(as per the risk action table)</i>	Rebecca Lee, CIO, Digital Strategy & Operations

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> 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 tolerance	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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 <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	
Date last reviewed	29 th April 2019
Assessment conducted by <i>List all contributors</i>	s 22
Clearance by <i>(as per the risk action table)</i>	Mark Cully, Head of Division

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> 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 tolerance ?	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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.
Context <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	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 <i>List all contributors</i>	s 22 , all EL2s in division and SES staff David Lawrence and Gary Richards
Clearance by <i>(as per the risk action table)</i>	Trevor Power

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> 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 tolerance	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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.
Context <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	NMI 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 across 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 offices 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 results (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 Act 1960</i> can also include financial penalties.
Date last reviewed	April 2019
Assessment conducted by <i>List all contributors</i>	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 <i>(as per the risk action table)</i>	Dr Bruce Warrington, Chief Metrologist and a/g Chief Executive Officer

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> List the cause (what will cause the event to occur?) Are any of the risks a shared risk? Are there any constitutional risks? <i>Tip—Undertake a PESTLE or SWOT analysis to help define risks</i>	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 <i>Tip—is there a corresponding control for each cause of risk?</i>	Likelihood	Consequence	Risk rating	Risk action table Person/s responsible for managing the risk Include shared risk owners	Risk tolerance	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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 <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	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 <i>List all contributors</i>	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 identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> List the cause (what will cause the event to occur?) Are any of the risks a shared risk? Are there any constitutional risks? <i>Tip—Undertake a PESTLE or SWOT analysis to help define risks</i>	What are the impacts of this occurring? <i>Tip—is there a corresponding control for each cause of risk?</i>	Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans Include controls for shared risks	Likelihood	Consequence	Risk rating	Risk action table Person/s responsible for managing the risk Include shared risk owners	Risk tolerance ?	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

Questacon

Fraud Risk Assessment and treatment plan 2018–20

Risk Assessment

Program/Project/Activity	2018-20 Fraud Risk Assessment
Branch/Division	Questacon
Objective/Purpose	<p>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</p> <p>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 Ian 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.</p>
Date last reviewed	2016
Assessment conducted by	<p>s 22, a/g Senior Manager Strategic Engagement and Advancement and the Senior Managers of Questacon, supported by Corporate Risk team.</p> <p>Cleared through Deputy Director of Science and Learning, Dr Bobby Cerini and Deputy Director of Operations, Kate Driver.</p>
Clearance by	Professor Graham Durant

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	<p>Describe the risk or event (what can happen)</p> <ul style="list-style-type: none"> List the cause (what will cause the event to occur?) Are any of the risks a shared risk? Are there any constitutional risks? <p>Tip—Undertake a PESTLE or SWOT analysis to help define risks</p>	<p>What are the impacts of this occurring?</p>	<p>Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans</p> <p>Include controls for shared risks</p> <p>Tip—is there a corresponding control for each cause of risk?</p>	Likelihood	Consequence	Risk rating	<p>Risk action table</p> <p>Person/s responsible for managing the risk</p> <p>Include shared risk owners</p>	<p>Risk tolerance</p>	<p>Risk action table</p> <p>No – Complete Treatment plan</p> <p>Yes – Optional Treatment plan</p>

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

Risk Assessment

Program/Project/Activity	Draft 2018-20 Fraud Risk Assessment
Branch/Division	Resources Division
Objective/Purpose <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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 <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	
Date last reviewed	16 May 2019
Assessment conducted by <i>List all contributors</i>	Resources Division EL2s, General Managers and Head of Division
Clearance by <i>(as per the risk action table)</i>	Head of Division

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	<p>Describe the risk or event (what can happen)</p> <ul style="list-style-type: none"> List the cause (what will cause the event to occur?) Are any of the risks a shared risk? Are there any constitutional risks? <p>Tip—Undertake a PESTLE or SWOT analysis to help define risks</p>	<p>What are the impacts of this occurring?</p>	<p>Such as existing policies; procedures; practice; governance committees; systems; technology; quality improvement plans</p> <p>Include controls for shared risks</p> <p>Tip—is there a corresponding control for each cause of risk?</p>	Likelihood	Consequence	Risk rating	<p>Risk action table</p> <p>Person/s responsible for managing the risk</p> <p>Include shared risk owners</p>	<p>Risk tolerance</p>	<p>Risk action table</p> <p>No – Complete Treatment plan</p> <p>Yes – Optional Treatment plan</p>

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

Risk Assessment

Program/Project/Activity	[Check whether 2018-20 Fraud Risk Assessment OR PBS Reference]
Branch/Division	Science & Commercialisation Policy Division
Objective/Purpose <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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.
Context <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	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 <i>List all contributors</i>	Gino Grasso, Jonathan Rogers, s 22 , Claire Forsyth and Jane Urquhart
Clearance by <i>(as per the risk action table)</i>	Jane Urquhart

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
Risk reference card	Describe the risk or event (what can happen) <ul style="list-style-type: none"> 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 tolerance	Risk action table No – Complete Treatment plan Yes – Optional Treatment plan

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

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 <i>State the objective to which the risk plan relates. Describe intent, purpose and outcomes</i>	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 <i>List internal and external factors that influence this risk in relation to achieving objectives</i>	<ul style="list-style-type: none"> The Minister and Senior Executive and Divisional executive team Change of government and Machinery of Government Internal restructure
Date last reviewed	01/04/2019
Assessment conducted by <i>List all contributors</i>	General Managers and Danielle Cassidy. Supported by Fraud Integrity & Assurance Team
Clearance by (as per the risk action table)	Dr Chris Locke

Risk identification			Controls	Analysis			Owner	Evaluation	
Category	Description	Consequence	Current control(s)	Risk reference card			Risk owner	Is risk within tolerance?	Accept risk?
<u>Risk reference card</u>	Describe the risk or event (what can happen) <ul style="list-style-type: none"> 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	<u>Risk action table</u> Person/s responsible for managing the risk Include shared risk owners	Risk tolerance	<u>Risk action table</u> No – Complete Treatment plan Yes – Optional Treatment plan

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

Risk Identification		Risk Analysis				Risk Treatment		Monitoring and Review								
Risk No.	Division/Branch Source/area identifying the fraud risk	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) [May need updating]	Fraud risk type (Use drop down list) Internal (I) or External (E)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)		Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)		Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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
								Likelihood	Consequence		Likelihood	Consequence				
s 47E(a), s 47E(d)																

Division: National Measurement Institute (NMI) Division HOD Approval/Clearance: [Insert Name of HOD who approved/cleared this DFRA] Date Approved:			Risk Identification				Risk Analysis			Risk Treatment			Monitoring and Review					
Risk No.	Division/Branch Source/area identifying the fraud risk	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) [May need updating]	Fraud risk type (Use drop down list) Internal (I) or External (E)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)			Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?			Residual fraud risk rating (Use drop down list)	Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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
								Likelihood	Consequence	Current risk rating	Likelihood	Consequence	Residual fraud risk rating					
s 47E(a), s 47E(d)																		

Division: HOD Approval/Clearance: Date Approved:		Office of Northern Australia Division [Insert Name of GM who approved/cleared this DFRA]															
Risk Identification						Risk Analysis				Risk Treatment		Monitoring and Review					
Risk No.	Division/Branch Source/Date Identifying the fraud risk	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) <i>[May need updating]</i>	Fraud risk type (Use drop down list)		Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)		Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)		Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Risk e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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
					Internal (I) or External (E)	Consequences			Likelihood Consequence Current risk rating	Current risk rating		Likelihood Consequence Residual fraud risk rating	Residual fraud risk rating				
s 47E(a), s 47E(d)																	

Division: HOD Approval/Clearance: Date Approved:		Qwestacon Division Kate Driver (Deputy Director and GM Operations)																		
Risk Identification										Risk Analysis				Risk Treatment			Monitoring and Review			
Risk No.	Division/Branch Source/area identifying the fraud risk	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) (May need updating)	Fraud risk type (Use drop-down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop-down list)		Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop-down list)		Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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				
								Likelihood	Consequence		Likelihood	Consequence								

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

Division: HOD Approval/Clearance: Date Approved:		Resources Division (Insert Name of GM who approved/cleared this DFRA)																
Risk Identification					Risk Analysis					Risk Treatment		Monitoring and Review						
Risk No.	Division/Branch Source/area identifying the fraud risk	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) (May need updating)	Fraud risk type (Use drop-down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop-down list)			Proposed Strategy/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?		Residual fraud risk rating (Use drop-down list)		Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Risk e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Risk e.g. HOD, Name of Division)?	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
								Likelihood	Consequences	Current Risk Rating	Likelihood	Consequence	Residual Rating					
s 47E(a), s 47E(d)																		

Division: HOD Approval/Clearance: Date Approved:		Science & Commercialisation Policy Division (Insert Name of GM who approved/cleared this DFRA)																
Risk Identification				Risk Analysis				Risk Treatment			Monitoring and Review							
Risk No.	Division/Branch Source/area identifying the fraud risk	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) [May need updating]	Fraud risk type (Use drop down list) Internal (I) or External (E)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)			Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)			Due Date Target Date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	General Comments Please include any general comments. E.g. provide a brief reason for escalating any risks rated high or above without further mitigation strategies
								Likelihood	Consequence	Current risk rating		Likelihood	Consequence	Residual fraud risk rating				

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

Division: HOD Approval/Clearance: Date Approved:		Portfolio Strategic Policy Division (Insert Name of GM who approved/cleared this DFRA)												
Risk Identification						Risk Analysis				Risk Treatment		Monitoring and Review		
Risk No.	Division/Branch source/where identifying the fraud risk	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) (May need updating)	Fraud risk type (Use drop down list)	Consequences (What are the impacts of this occurring?)	Existing Controls (What is currently done to manage this fraud risk?)	Current fraud risk rating (Use drop down list)	Proposed Strategies/Treatments (What additional strategies/treatments can be implemented to manage this fraud risk?)	Residual fraud risk rating (Use drop down list)	Due Date (Target date to implement)	Treatment Owner (Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?)	Fraud Risk Owner (Who is accountable (Role e.g. HOD, Name of Division)?)	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)

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

Division: HOD Approval/Clearance: Date Approved:		Business Services Division (including RUCAS) Chris Butler 23 October 2016																
Risk Identification				Risk Analysis				Risk Treatment			Monitoring and Review							
Risk No.	Division/Branch <small>Source of risk/identifying the fraud risk</small>	Fraud Risk Statement <small>Identify possible sources of fraud risk - internal and external</small>	Causes <small>Why and how might this occur?</small>	Fraud Risk Categories <small>(Use drop down list) (May need updating)</small>	Fraud Risk type <small>(Use drop down list)</small>	Consequences <small>What are the impacts of this occurring?</small>	Existing Controls <small>What is currently done to manage this fraud risk?</small>	Current Fraud risk rating <small>(Use drop down list)</small>			Proposed Strategies/Treatments <small>What additional strategies/treatments can be implemented to manage this fraud risk?</small>	Residual Fraud risk rating <small>(Use drop down list)</small>			Due Date / Target date to implement	Treatment Owner <small>Who is responsible for implementing the proposed treatment? (Risk e.g. HOD, Name of Division?)</small>	Fraud Risk Owner <small>Who is accountable? (Risk e.g. HOD, Name of Division?)</small>	General Comments <small>Please include any general comments e.g. provide a brief reason for accepting any risk rated High or above without further mitigation strategies</small>
								Unchanged	Consequence	Current risk rating		Unchanged	Consequence	Residual fraud rating				
s 47E(a), s 47E(d)																		

Division:		Australian Astronomical Observatory (AAO) Division																
HOD Approval/Clearance:		[Insert Name of HoD who approved/cleared this DFRA]																
Date Approved:																		
Risk Identification					Risk Analysis					Risk Treatment		Monitoring and Review						
Risk No.	Division/Branch Source/area Identifying the fraud risk	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) [May need updating]	Fraud risk type (Use drop down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)			Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)			Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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
								Likelihood	Consequence	Current risk rating		Likelihood	Consequence	Residual fraud risk rating				
s 47E(a), s 47E(d)																		

HOD Approval/Clearance: Date Approved:		Date Approved: Dale Seymour Anti-Dumping Commission																
Risk Identification					Risk Analysis			Risk Treatment		Monitoring and Review								
Risk No.	Division/Branch Source/area identifying the fraud risk	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) <i>[May need updating]</i>	Fraud risk type (Use drop down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)			Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)			Due Date Target Date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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
								Likelihood	Consequence	Current risk rating		Likelihood	Consequence	Residual fraud risk rating				

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

Division: HOD Approval/Clearance: Date Approved:		Australian Building Codes Board Division [Insert Name of GM who approved/cleared this DFRA]																
Risk Identification					Risk Analysis					Risk Treatment		Monitoring and Review						
Risk No.	Division/Branch in Source/area identifying the fraud risk	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) [May need updating]	Fraud risk type (Use drop down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)			Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)			Due Date/Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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
								Likelihood	Consequence	Current risk rating		Likelihood	Consequence	Residual fraud risk rating				
s 47E(a), s 47E(d)																		

Division: HOD Approval/Clearance: Date Approved:		Corporate Division Margaret Tregurtha														
Risk Identification					Risk Analysis				Risk Treatment		Monitoring and Review					
Risk No.	Division/Branch Source/area identifying the fraud risk	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) (May need updating)	Fraud risk type (Use drop down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)		Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)		Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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
					Internal (I) or External (E)			Likelihood Consequence Current risk rating	Likelihood Consequence Residual fraud risk rating							
s 47E(a), s 47E(d)																

Division: Digital Strategy & Operations Division		Digital Strategy & Operations Division															
HOD Approval/Clearance: Matthew Boyley 7/10/2016		Matthew Boyley 7/10/2016															
Date Approved:		Date Approved:															
Risk Identification						Risk Analysis						Risk Treatment		Monitoring and Review			
Risk No.	Division/Branch Source/area identifying the fraud risk	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) [May need updating]	Fraud risk type (Use drop down list) Internal (I) or External (E)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)	Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)	Due Date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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			
															Likelihood	Consequence	Current risk rating
s 47E(a), s 47E(d)																	

Division: HDD Approval/Clearance: Date Approved:		Economic & Analytical Services Division Mark Cully														
Risk Identification				Risk Analysis				Risk Treatment				Monitoring and Review				
Risk No.	Division/Branch Source/lines Identifying the Fraud risk	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) (May need updating)	Fraud risk type (Use drop down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)		Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)		Due Date Target Date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HDD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HDD, Name of Division)?	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
								Unlikelihood	Consequence		Current risk rating	Unlikelihood				
s 47E(a), s 47E(d)																

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					
Risk No.	Division/branch Source/area Identifying the fraud risk	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) <i>[May need updating]</i>	Fraud risk type (Use drop down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating <i>(Use drop down list)</i>			Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?			Residual fraud risk rating <i>(Use drop down list)</i>		Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Risk e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Risk e.g. HOD, Name of Division)?	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
								Likelihood	Consequence	Current risk rating	Likelihood	Consequence	Residual fraud risk rating						
s 47E(a), s 47E(d)																			

Division: HOD Approval/Clearance: Date Approved:		Innovation Programmes Division (Insert Name of HOD who approved/cleared this DFRA)																
Risk Identification					Risk Analysis				Risk Treatment		Monitoring and Review							
Risk No.	Division/Branch Source (area identifying the fraud risk	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) (May need updating)	Fraud risk type (Use and drop list)	Consequences What are the impacts of this occurring? Internal (I) or External (E)	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)			Proposed Strategies/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?	Residual fraud risk rating (Use drop down list)			Due Date For get date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Role e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Role e.g. HOD, Name of Division)?	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
								Likelihood	Consequence	Current risk rating		Likelihood	Consequence	Residual fraud risk rating				
s 47E(a), s 47E(d)																		

Division: HOD Approval/Clearance: Date Approved:		Resources Division (Insert Name of GM who approved/cleared this DFRA)																
Risk Identification					Risk Analysis					Risk Treatment		Monitoring and Review						
Risk No.	Division/Branch Source/area identifying the fraud risk	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) (May need updating)	Fraud risk type (Use drop down list)	Consequences What are the impacts of this occurring?	Existing Controls What is currently done to manage this fraud risk?	Current fraud risk rating (Use drop down list)			Proposed Strategy/Treatments What additional strategies/treatments can be implemented to manage this fraud risk?		Residual fraud risk rating (Use drop down list)		Due Date Target date to implement	Treatment Owner Who is responsible for implementing the proposed treatment (Risk e.g. HOD, Name of Division)?	Fraud Risk Owner Who is accountable (Risk e.g. HOD, Name of Division)?	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
								Likelihood	Consequences	Current Risk Rating	Likelihood	Consequences	Residual Risk Rating					

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