



Section B (i) - Rated Risk Results per Risk Category

Risk Name	Department Name	Risk Description	Root cause	Consequences	Likelihood	Impact	Inherent Risk	Control Effectiveness (Current)	Control Effectiveness (Desired)	Residual Risk (Current)	Residual risk (Desired)	Residual Gap
Health and Safety / Security Risks												
Community Development: Housing Provision	Technical Services	Inability to develop and upgrade housing.	Delays in acquiring privately owned land. Insufficient budget. Lack of a Housing Policy, Sector Plan and Beneficiary List. Lack of rezoning of identified land. Lack of capacity (housing officer).	Informal settlements. Fire hazards. Spread of disease and poor health conditions due to overcrowding. Excessive pressure on bulk infrastructure. Community unrest.	100% Certain	100 Critical	100 Critical	20 Weak	45 Satisfactory	80 Critical	55 Major	24 Moderate
Community Safety: Traffic Management	Planning and Community Services	Inability to enforce traffic laws.	Magistrate striking off fines. Lack of office space. Lack of driving licensing testing centre (DLTC). Un-gazetted by-laws.	Inability to meet targets. Compromised service delivery. Increase in unlicensed drivers.	80% Likely	100 Critical	80 Critical	20 Weak	90 Very Good	64 Critical	7 Insignificant	56 Major



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Governance, Compliance/Regulatory and Reputational												
Business Support:Policies and Delegations	Office of the Mayor	Inability to review and implement policies and delegations.	Limited skills and capacity. Lack of proper monitoring of policies. Financial constraints.	Non compliance with acts. Fraud and corruption. Compromised service delivery. Disgruntled community. Abuse of Municipal assets. Low staff morale. Loss of revenue. Effects on productivity. Outdated by-laws and policies. Injury in the workplace. Financial loss.	80% Likely	100 Critical	80 Critical	20 Weak	70 Good	64 Critical	24 Moderate	40 Major

KwaSani Local Municipality



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Social Risks												
Community Development: Youth and Sports	Office of the Mayor	Inability to develop the youth.	Shortage of staff. Demotivation and poor participation in Municipality programs. Lack of business development support facilities in the area. Lack of talent scouting. Lack of coaching and development programs in sports. Budget constraints. Substance abuse. High drop out rate. Impoverished families. Lack of a local higher education institution.	Community unrest. Increase in crime rates. Lack of youth development. Unemployment. Ineffective implementation of sport programs.	80% Likely	100 Critical	80 Critical	20 Weak	70 Good	64 Critical	24 Moderate	40 Major

KwaSani Local Municipality



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Economic Risks												
Local Economic Development - SMME's	Planning and Community Services	Ineffective small medium and micro entities and co-operatives programs.	<p>Shortages of skills (low Construction Industry Development Board grading).</p> <p>Insufficient business development support services.</p> <p>High concentration on low entry sectors (e.g catering and construction).</p> <p>Lack of a satellite local training institution.</p> <p>Insufficient support from the Department of Economic Development (SEDA).</p> <p>Difficulty in accessing start up finance (lack of business plan drawing up skills).</p> <p>Lack of entrepreneurship drive.</p>	<p>High rate of unemployment.</p> <p>Increase in poverty.</p> <p>Continued exclusion of previously disadvantaged in economic activity.</p> <p>Economic leakages.</p> <p>Loss of investor confidence.</p>	60% Moderate	100 Critical	60 Major	20 Weak	90 Very Good	48 Major	5 Insignificant	42 Major
Financial Risks												
Human Resources: Employee awareness programme	Corporate Services	Lack of employee awareness programs.	<p>Budget constraints.</p> <p>Lack of an Employee Awareness Programme Coordinator.</p>	Lack of support for employees.	60% Moderate	100 Critical	60 Major	20 Weak	70 Good	48 Major	18 Minor	29 Moderate



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Infrastructure Risks												
Community Development: Building Control	Technical Services	Delays in the building control processes.	Lack of human capacity. Intentional contraveners. Inaccessibility of farms. Lack of resources (vehicles). Insufficient enforcement. Ungazetted By-laws. Lack of identification card.	Inappropriate illegal structures. Tarnished image of the Municipality. Conflict between the municipality and community. Loss of revenue. Injury and loss of life.	60% Moderate	100 Critical	60 Major	20 Weak	90 Very Good	48 Major	5 Insignificant	42 Major

KwaSani Local Municipality



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Social Risks												
Community Development: Health	Office of the Mayor	Ineffective implementation of special programmes.	Lack of local activists. Lack of a Hast Policy. Stigma. Lack of awareness from farm dwellers. Giving birth at home. Limited participation in voluntary counseling and testing. Lack of doctors. High rate of default in taking treatment (ARV ect). Insufficient training of care givers. High staff turnover due to low stipend (care givers). Insufficient transport for care givers. Non attendance of prenatal clinic.	Fatalities. Child headed households. Continuous spread of disease. Overcrowding and unemployment.	60% Moderate	100 Critical	60 Major	45 Satisfactory	90 Very Good	33 Moderate	5 Insignificant	27 Moderate
Community Development: Children	Office of the Mayor	Ineffective implementation of programmes for children.	Insufficient early childhood development facilities. Budget constraints. Substance abuse. Child headed households.	HIV infections. Trauma and death. Grant dependency. Teenage pregnancy.	60% Moderate	100 Critical	60 Major	45 Satisfactory	90 Very Good	33 Moderate	5 Insignificant	27 Moderate

KwaSani Local Municipality



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			Rape and abuse of children. Broken family structures. Impoverished families. Misutilisation of grant money. High rate of school drop out.									
Process/Operational Risks												
Community Services: Municipal Pound	Technical Services	Inability to establish and operate the animal pound.	Lack of capacity to operate the pound. Lack of Pound Operational Plan. Lack of operational budget for animal pound. Lack of animal pound by-laws.	High accident rate. Spread of disease (rabbits ect). High cost for stock owners on live stock recovery. Resistance from the public (animal owners).	60% Moderate	60 Major	36 Major	10 Unsatisfactory	70 Good	32 Moderate	10 Insignificant	21 Moderate



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Human Resources Risks												
Human Resources:Skills Development	Corporate Services	Insufficient skills development program.	Lack of a Succession Plan. Budget constraints. Lack of a local training institution.	Reliance on support from consultants at high cost. Low staff morale. Poor development of staff. High turnover of skilled staff. Difficulties in internal promotions.	60% Moderate	60 Major	36 Major	20 Weak	90 Very Good	28 Moderate	3 Insignificant	25 Moderate
Governance, Compliance/Regulatory and Reputational												
Business Support:Ward Committees	Office of the Municipal Manager	Ineffective ward committees.	Non certification and recognition of ward committees by Department of Co-operative Governance and Traditional Affairs (CoGTA). Lack of functional ward committees. Lack of a budget for ward committee stipend. Lack of training. Limited sharing of information between the ward committees and the public.	Limited information to communities. Lack of unity between the Municipality and community. Tarnished image of the Municipality.	60% Moderate	60 Major	36 Major	20 Weak	70 Good	28 Moderate	10 Insignificant	18 Minor



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Economic Risks												
Local Economic Development - Craft Promotion Support	Planning and Community Services	Inability to access markets and training for craft producers.	Lack of exposure to craft markets. Poor quality and design of local crafts. Budget constraints for crafts development and expansion. Lack of an arts centre.	Low standard of living. Low morale and productivity. Continued exclusion of women in economic activity. Increase in poverty.	80% Likely	60 Major	48 Major	45 Satisfactory	90 Very Good	26 Moderate	4 Insignificant	21 Moderate

KwaSani Local Municipality



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Process/Operational Risks												
Community Development: Facilities	Corporate Services	Inability to maintain and construct community facilities.	Unavailability of land to construct facilities in the Underberg area. Insufficient funding. Lack of sense of ownership and awareness to the community (vandalism). Lack of operational plans and Land Use Management Plans. Lack of security. Lack of accessibility to certain facilities due to poor co-ordination and planning regarding infrastructural support (disabled). Lack of capacity (maintenance staff and resources).	Compromised service delivery. Increased crime rates. Poor business infrastructure. Non compliance with Municipal by-laws. Disgruntled community. Fruitless and wasteful expenditure (vandalism). Under/over utilisation of facilities.	80% Likely	60 Major	48 Major	45 Satisfactory	90 Very Good	26 Moderate	4 Insignificant	21 Moderate



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Environmental Risks												
Waste Management: Collection and Recycling	Technical Services	Inability to establish recycling project and to manage waste.	Budget constraints. Lack of Integrated Waste management plan to collect in rural areas and farms. Lack of technical skills. Unavailability of a landfill site.	Continued high cost of transporting waste. Decrease in the lifespan of transfer station. Loss of revenue.	80% Likely	100 Critical	80 Critical	70 Good	90 Very Good	24 Moderate	7 Insignificant	16 Minor
Financial Risks												
Financial Management: Supply Chain Management	Finance	Inability to procure goods and services on time.	Lack of human capacity. Lack of a warehouse and storage facility. Late submission of request by internal departments. Limited local service providers on the database. Lack of skills and proper grading of local service providers.	Audit queries. Poor segregation of duties. Non compliance with Municipal Finance Management Act and Supply Chain Management Regulations Policy. Fraud and corruption. Tarnished image of the Municipality. Effects on productivity. Compromised service delivery. Theft. Financial loss.	40% Unlikely	100 Critical	40 Major	45 Satisfactory	90 Very Good	22 Moderate	3 Insignificant	18 Minor



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Strategic and Service Delivery Risks												
StrategicLeadership: Integrated Development Plan	Planning and Community Services	Non credible Integrated Development Plan.	<p>Non involvement of staff in the Integrated Development Plan process.</p> <p>Limited participation of the other sector departments in the Integrated Development Plan process.</p> <p>Lack of Community Based Plans.</p>	<p>Wish list.</p> <p>Compromised service delivery.</p> <p>Lack of credibility.</p> <p>Non prioritising of resources.</p> <p>Tarnished image of the Municipality.</p> <p>Community unrest.</p> <p>Duplication of service.</p> <p>Non spending of grant money leading recalling of funds.</p> <p>Non alignment with district and other sector departments.</p>	40% Unlikely	100 Critical	40 Major	45 Satisfactory	90 Very Good	22 Moderate	3 Insignificant	18 Minor



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Governance, Compliance/Regulatory and Reputational												
BusinessSupport :Peformance Management System	Corporate Services	Ineffective Performance Management System.	Poor Performance Management System. Lack of human capacity. Non alignment of Performance Management System and scorecards. Targets do not conform to the SMART principles.	Audit queries. Compromised service delivery. Non monitoring of projects. Non rewarding of good performance. Non identification of poor performance. Financial loss (undue bonuses).	60% Moderate	60 Major	36 Major	45 Satisfactory	70 Good	19 Minor	10 Insignificant	9 Insignificant
Social Risks												
CommunityDevelopment:Gender	Office of the Mayor	Ineffective implementation of special programmes.	Lack of education and high unemployment. Domestic violence. Limited business opportunities. Lack of an abused women centre. Misuse of grant money by family members. Lack of an old age centre. Underutilisation of experienced senior citizens.	Fatalities. Substance abuse. Increase in crime. Poverty. Breakdown of family unit. Increase in grant dependency. Lack of women emancipation.	60% Moderate	60 Major	36 Major	45 Satisfactory	70 Good	19 Minor	10 Insignificant	9 Insignificant

KwaSani Local Municipality



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Economic Risks												
Economic Development: Tourism Attraction and Retention	Planning and Community Services	Inability to attract and retain tourists.	<p>Lack of skills and knowledge transfer from tourism product owners to emerging black businesses.</p> <p>Lack of THETA accredited training institutions.</p> <p>Lack of guidance on the tourism field of study (career guidance).</p> <p>Limited tourism activities.</p> <p>Lack of black tourists influx into Kwa Sani.</p> <p>Lack of transformation within the tourism industry.</p> <p>Insufficient marketing of Kwa Sani.</p> <p>Non review of the Tourism Strategy.</p>	<p>Continued exclusion of black community from tourism industry and slow transformation process.</p> <p>Hampers economic development.</p> <p>Increase in the rate of unemployment and targeted crime.</p> <p>Loss of potential income from tourists.</p>	60% Moderate	60 Major	36 Major	45 Satisfactory	90 Very Good	19 Minor	3 Insignificant	16 Minor

KwaSani Local Municipality



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Financial Risks												
Business Support: Performance Management	Office of the Municipal Manager	Ineffective performance management	Non alignment of Integrated Development Plan and Performance Management System.	Non compliance.	60% Moderate	60 Major	36 Major	45 Satisfactory	90 Very Good	19 Minor	3 Insignificant	16 Minor
Financial Management: Expenditure Management	Finance	Inability to pay creditors within 30 days.	Limited suppliers and service providers affecting competitive pricing.	Over or unauthorised expenditure. Compromised service delivery. Non compliance with Supply Chain Management Policies and Regulations. Audit queries. Cash flow problems. Price escalations.	60% Moderate	60 Major	36 Major	45 Satisfactory	90 Very Good	19 Minor	3 Insignificant	16 Minor
Financial Management: Revenue Enhancement	Finance	Inability to collect and enhance revenue.	Lack of a licensing department (learners, renewal of drivers licenses services). Non review of the Municipal By-laws (on outdoor advertising). High rate of indigents. High default rate of business and taxi rank fee. Unconducive relationship with the magistrate.	High reliance on equitable share. Going concern issues. High rate of legal fees (illegal developments ect). Conflict between the Municipality and community. Poor service delivery.	60% Moderate	60 Major	36 Major	45 Satisfactory	70 Good	19 Minor	10 Insignificant	9 Insignificant

KwaSani Local Municipality



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Social Risks												
Community Development: Disability	Office of the Mayor	Ineffective implementation of programmes for people living with disabilities.	<p>Poor participation of the disabled on the programs provided.</p> <p>Lack of support from family members.</p> <p>Stigma and discrimination from the community.</p> <p>Poor disabled facilities and infrastructure.</p> <p>Poor educational levels and skills in the disabled community.</p>	<p>Compromised service delivery.</p> <p>Poor development of the disabled.</p> <p>Tarnished image of the Municipality.</p>	60% Moderate	60 Major	36 Major	45 Satisfactory	90 Very Good	19 Minor	3 Insignificant	16 Minor

KwaSani Local Municipality



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Infrastructure Risks												
TownPlanning:U nderberg CBD Upgrade	Technical Services	Non completion of upgrading the central business development.	<p>Poor road conditions and storm water drainage.</p> <p>Insufficient budget.</p> <p>Unavailability of land for development.</p> <p>Non reviewal of Municipal by-laws.</p>	<p>Increase in accidents and breakdown of vehicles due to poor roads and storm water drainage.</p> <p>Tarnished image of the Municipality.</p> <p>Loss of potential investors.</p> <p>Poor tourism activity.</p> <p>Exposure to litigation claims.</p> <p>Financial loss (damage of infrastructure due to lack of maintenance over storm drainage).</p> <p>Recall of unutilised funding by Department of Co-operative Governance and Traditional Affairs.</p> <p>Delays/non completion of development.</p> <p>Difficulty in accessing funding in the future.</p>	60% Moderate	100 Critical	60 Major	70 Good	90 Very Good	18 Minor	5 Insignificant	12 Minor



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Economic Risks												
Local Economic Development - Homestead	Planning and Community Services	Inability to enhance economic growth.	Lack of local market for produce (demand). Geographical spread and high cost of transport between rural area and Underberg town. Budget constraints. Weather patterns effects on agricultural produce. Lack of agricultural infrastructure.	Increase in poverty. Increase in crime. Increase in indigence and grant dependency.	40% Unlikely	60 Major	24 Moderate	45 Satisfactory	90 Very Good	13 Minor	2 Insignificant	10 Insignificant
Local Economic Development - Livestock	Planning and Community Services	Ineffective livestock improvement programs.	Unavailability and limited grazing land. Stock theft. Lack of understanding of livestock economic value.	Malnutrition and death of stock. Loss of potential income. Conflict between communities due to stock theft.	40% Unlikely	60 Major	24 Moderate	45 Satisfactory	90 Very Good	13 Minor	2 Insignificant	10 Insignificant

KwaSani Local Municipality



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Infrastructure Risks												
Infrastructure: Rural Roads	Technical Services	Inability to upgrade rural roads.	Financial constraints. Lack of Infrastructure Development Plan. Shortage of gravel material. Lack of human capacity and equipment.	Increase in rate of accidents. Damage to road infrastructure. Recall of funding (Municipal Infrastructure Grants). Poor access to rural community, tourists establishments and provision of services. Community unrest.	40% Unlikely	100 Critical	40 Major	70 Good	90 Very Good	12 Minor	3 Insignificant	8 Insignificant
Human Resources Risks												
Human Resources: Recruitment and Retention	Corporate Services	Inability to attract and retain scarce skills.	Low salary scales and employee benefits. Lack of accommodation.	Shortage of staff. Overloaded staff members. Increase in overtime. Compromised service delivery. Reliance on the support from consultants. Inability to recruit critical skills.	60% Moderate	35 Moderate	21 Moderate	45 Satisfactory	90 Very Good	11 Minor	2 Insignificant	9 Insignificant

KwaSani Local Municipality



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Social Risks												
Community Development: Arts and Culture	Office of the Mayor	Ineffective implementation of arts and culture programmes.	Budget constraints. Lack of support from provincial departments.	Disgruntled community. Slow development.	60% Moderate	35 Moderate	21 Moderate	45 Satisfactory	70 Good	11 Minor	6 Insignificant	5 Insignificant
Technological and System Risks												
Business Support: Information Technology	Corporate Services	Ineffective Information Technology services.	Lack of a server room. Outdated licenses.	Loss of critical data. Compromised service delivery.	60% Moderate	60 Major	36 Major	70 Good	90 Very Good	10 Insignificant	3 Insignificant	7 Insignificant



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Process/Operational Risks												
Community Services: Cemeteries Management	Technical Services	Ineffective planning and management of cemeteries.	Irregular update of the cemeteries map. Lack of electronic records keeping system. Lack of Cemeteries Policy. Lack of capacity (cemeteries caretakers). Uncontrolled access to cemeteries (Underberg). Lack of planning towards future development for cemeteries. Lack of monitoring of the cemeteries. Lack of funding for future purchase of cemetery land and provision of cemetery services options.	Shortage of burial space and filling up of funeral undertakers. Digging on the wrong burial space. Inability to identify graves. Loss of income. Disgruntled community. Vandalism of cemeteries (animals ect). Unauthorised burials. Misallocation of graves.	60% Moderate	60 Major	36 Major	70 Good	90 Very Good	10 Insignificant	3 Insignificant	7 Insignificant

KwaSani Local Municipality



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Financial Risks												
Financial Management: Compliance and Reporting	Finance	Non compliance with Municipal Financial Management Act and Generally Recognised Accepted Plan Standards.	Inadequate financial system.	Audit queries. Tarnished image of the Municipality. Recall of unused grants.	40% Unlikely	60 Major	24 Moderate	70 Good	90 Very Good	7 Insignificant	2 Insignificant	4 Insignificant
Financial Management: Assets Management	Finance	Inability to safeguard and account for assets.	Inadequate compliance with Asset Management Policy.	Qualified audit opinion. Financial loss. Over/understated asset register. Compromised service delivery.	40% Unlikely	35 Moderate	14 Minor	45 Satisfactory	70 Good	7 Insignificant	4 Insignificant	3 Insignificant