Risk Register - Preparation - Coralvale Regional Council - 25/09/2026

1. Run Metadata & System Disclosure

Item	Entry
Council	Coralvale Regional Council
State jurisdiction	QLD
Document type	Risk Register (twin pair: Preparation document and Final document)
Subject	Ridgeback Creek Water Treatment Plant replacement, Option 3
Date run	25/09/2026
Version	[VERIFY]
DNA schema	light-1.0, council-light edition
Officer accountable	J. Smith, Manager Capital Delivery
AI system used	Claude (free, Pro or Max, personal account)

The AI system was instructed to operate under three boundaries: no external internet access; no fact used that is not in the prompt; and no figure, date or statutory reference invented. It was further instructed to write [VERIFY] wherever a needed fact was absent. This record states the instructions the system was given. It does not confirm, and cannot confirm, what the system actually did. The accountable officer named above must check the Final document against the Source Register in section 5 before relying on it.

2. Conflict of Interest & Probity Declarations

J. Smith, Manager Capital Delivery, made the following declaration at interview on 25/09/2026. It is recorded exactly as given:

"I, the officer operating the AI, and the external consultant engaged on this project have no conflict of interest in this matter."

The declaration states that no conflict exists for either the officer or the external consultant, so no conflict management action is recorded. The identity of the external consultant covered by the declaration is [VERIFY]. Conflict of interest declarations from participants in the open public tender evaluation are [VERIFY] and should be recorded against this register once the tender evaluation is constituted.

3. Statutory Anchors & Delegations

Provision	Where used in the Final document
ISO 31000:2018 Risk Management Guidelines	Risk Management Context & Framework; Monitoring, Review & KRIs
QLD Audit Office (QAO) Enterprise Risk & Fraud Maturity Models	Risk Management Context & Framework; Monitoring, Review & KRIs
Local Government Regulation 2012 Chapter 6 (section [VERIFY])	Existing Controls Assessment; Risk Treatment Action Plan

The first two provisions are cited only. The Final document does not state what either one governs or requires, because the prompt does not say. The only subject statement made for any provision is that Local Government Regulation 2012 Chapter 6 governs contracting, which is taken from Research Finding 2; its section number is [VERIFY]. No Local Government Act provision is cited because none was given, and no other state's legislation is referenced.

Other references relied on, which are not statutory: Coralvale Regional Council Procurement Policy 2026, adopted 24/06/2026; IPWEA NAMS+ condition grading; Coralvale Corporate Plan 2024-2029; Long Term Financial Plan 2024-2034.

Delegations: the delegation instrument under which J. Smith, Manager Capital Delivery, is acting is [VERIFY]. The Procurement Policy 2026, the Corporate Plan and the Long Term Financial Plan are not delegation instruments and are not relied on as such. The decision-maker for this matter is [VERIFY].

4. Decisions and Options Evaluated

Resolved decision	Status	Where it landed in the Final document
Option 3 selected over Option 2	Applied	Risk Management Context & Framework; Existing Controls Assessment; Risk Treatment Action Plan
CAPEX capped at $18,500,000 ex-GST	Applied	Risk Management Context & Framework; Risk Identification & Hazard Assessment; Risk Treatment Action Plan; Monitoring, Review & KRIs
Procurement by open public tender	Applied	Risk Management Context & Framework; Existing Controls Assessment; Risk Treatment Action Plan
Practical Completion 15/12/2027	Applied	All sections
Open session	Applied	Risk Management Context & Framework

Choice A: scope of the register. Option A1 registers the three risks the officer identified and rated, and treats the capital cap and procurement method as factors within them. Option A2 adds further rows, such as capital cap exceedance, with likelihood, consequence and owner all [VERIFY]. Recommended: A1. An unrated, unowned row cannot be reported against appetite and would dilute the three rated risks that the Committee must act on. The Risk Owners should consider rating capital cap exceedance as a separate risk at the next quarterly review.

Choice B: rating bands. Option B1 converts each likelihood and consequence pair into a High or Extreme band using a typical 5x5 matrix. Option B2 records the officer's likelihood and consequence descriptors and writes the band as [VERIFY]. Recommended: B2. Council's own matrix bands were not given, and borrowing another matrix would invent the one classification the Committee checks first.

Choice C: residual rating without testing evidence. Option C1 reduces residual risk on the assumed effect of existing controls. Option C2 sets residual equal to inherent and states why. Recommended: C2. No control has operational testing evidence, so any reduction would rest on a phantom control.

Choice D: interdependencies. Option D1 presents the three risks as independent rows. Option D2 records that wet season delay (R3) is a cause of a missed deed date (R2) and extends exposure to plant failure (R1). Recommended: D2, because the link shows the Committee that one schedule failure moves all three risks at once.

5. Granular Source Register

Fact | Section used | Source | Date | Status

Coralvale Regional Council | All sections | DNA CouncilName | 25/09/2026 | [User Entered]

QLD jurisdiction | Risk Management Context & Framework | DNA StateJurisdiction | 25/09/2026 | [User Entered]

Date run 25/09/2026 | Title | DNA DateRun | 25/09/2026 | [User Entered]

J. Smith, Manager Capital Delivery | Risk Management Context & Framework; Preparation sections 1, 2, 8 | DNA OfficerNameAndPosition | 25/09/2026 | [User Entered]

Claude (free, Pro or Max, personal account) | Preparation section 1 | DNA AISystemUsed | 25/09/2026 | [User Entered]

No conflict of interest declared by officer and external consultant | Risk Management Context & Framework; Preparation section 2 | DNA ConflictOfInterestDeclaration | 25/09/2026 | [User Entered]

Regional city, 68,000 residents across 5,480 km2 | Risk Management Context & Framework | DNA PopulationBand | 25/09/2026 | [User Entered]

Public tender threshold $200,000 ex-GST | Existing Controls Assessment; Risk Treatment Action Plan | DNA ProcurementThreshold | 25/09/2026 | [Officer Confirmed — Coralvale Regional Council Procurement Policy 2026, adopted 24/06/2026]

Procurement Policy 2026 adopted 24/06/2026 | Existing Controls Assessment | DNA ProcurementThreshold | 25/09/2026 | [Officer Confirmed — Coralvale Regional Council Procurement Policy 2026, adopted 24/06/2026]

Public tender threshold $200,000 ex-GST under Procurement Policy 2026 | Existing Controls Assessment | Research Finding 1 | [VERIFY] | [Council Research]

Coralvale Corporate Plan 2024-2029 | Risk Management Context & Framework | DNA GoverningPlanNames | 25/09/2026 | [User Entered]

Long Term Financial Plan 2024-2034 | Risk Management Context & Framework | DNA GoverningPlanNames | 25/09/2026 | [User Entered]

Ridgeback Creek Water Treatment Plant at IPWEA NAMS+ Condition Grade 4 | Risk Management Context & Framework; Risk Identification & Hazard Assessment | DNA CurrentState; M5 | 25/09/2026 | [User Entered]

Single 1980s clarifier train, manual dosing, no redundancy | Risk Management Context & Framework; Risk Identification & Hazard Assessment; Existing Controls Assessment | DNA CurrentState | 25/09/2026 | [User Entered]

Peak-day demand exceeds firm capacity | Risk Management Context & Framework; Risk Identification & Hazard Assessment; Monitoring, Review & KRIs | DNA CurrentState | 25/09/2026 | [User Entered]

Fully automated plant, 25 MLD firm capacity | Risk Management Context & Framework; Risk Treatment Action Plan | DNA TargetState | 25/09/2026 | [User Entered]

Duty/standby trains, SCADA integration, 1-in-100 year flood immunity | Risk Management Context & Framework; Risk Treatment Action Plan | DNA TargetState | 25/09/2026 | [User Entered]

Council resolved Option 3 in June 2026 | Risk Management Context & Framework; Existing Controls Assessment | DNA Background | 25/09/2026 | [User Entered]

Practical Completion locked to State grant funding deed | Risk Management Context & Framework; Risk Identification & Hazard Assessment; Existing Controls Assessment | DNA Background | 25/09/2026 | [User Entered]

Wet season constrains the construction window | Risk Management Context & Framework; Risk Identification & Hazard Assessment | DNA Background | 25/09/2026 | [User Entered]

Condition Grade 4 requires immediate capital replacement planning | Risk Management Context & Framework | M5 | 25/09/2026 | [User Entered]

Condition Grade 4 requires immediate capital replacement planning | Risk Management Context & Framework | Research Finding 3 | [VERIFY] | [Council Research]

R1 plant failure before completion, Likely x Major, Manager Water Operations | Risk Identification & Hazard Assessment; Residual Risk Calculation & Matrix; Risk Treatment Action Plan | M7 | 25/09/2026 | [User Entered]

R2 grant deed date missed, Possible x Major, Director Infrastructure Services | Risk Identification & Hazard Assessment; Residual Risk Calculation & Matrix; Risk Treatment Action Plan | M7 | 25/09/2026 | [User Entered]

R3 wet season delay, Likely x Moderate, Project Manager | Risk Identification & Hazard Assessment; Residual Risk Calculation & Matrix; Risk Treatment Action Plan | M7 | 25/09/2026 | [User Entered]

ISO 31000:2018 with Council's 5x5 likelihood and consequence matrix | Risk Management Context & Framework | M8 | 25/09/2026 | [User Entered]

Audit Committee reports quarterly | Risk Management Context & Framework; Risk Treatment Action Plan; Monitoring, Review & KRIs | M8 | 25/09/2026 | [User Entered]

Option 3 selected over Option 2 | Risk Management Context & Framework | Resolved decision | 25/09/2026 | [User Entered]

CAPEX capped at $18,500,000 ex-GST | Risk Management Context & Framework; Risk Identification & Hazard Assessment; Risk Treatment Action Plan; Monitoring, Review & KRIs | Resolved decision | 25/09/2026 | [User Entered]

Procurement by open public tender | Existing Controls Assessment; Risk Treatment Action Plan | Resolved decision | 25/09/2026 | [User Entered]

Practical Completion 15/12/2027 | All sections | Resolved decision | 25/09/2026 | [User Entered]

Open session | Risk Management Context & Framework | Resolved decision | 25/09/2026 | [User Entered]

Local Government Regulation 2012 Chapter 6 governs contracting | Existing Controls Assessment; Risk Treatment Action Plan | Research Finding 2 | [VERIFY] | [Council Research]

Local Government Regulation 2012 Chapter 6 section number | Existing Controls Assessment; Risk Treatment Action Plan | Research Finding 2 | [VERIFY] | [VERIFY]

ISO 31000:2018 Risk Management Guidelines | Risk Management Context & Framework; Monitoring, Review & KRIs | Statutory anchor list | 25/09/2026 | [User Entered]

QLD Audit Office (QAO) Enterprise Risk & Fraud Maturity Models | Risk Management Context & Framework; Monitoring, Review & KRIs | Statutory anchor list | 25/09/2026 | [User Entered]

Rating bands of Council's 5x5 matrix | Residual Risk Calculation & Matrix | Not available | [VERIFY] | [VERIFY]

Council risk appetite for this project | Risk Management Context & Framework; Residual Risk Calculation & Matrix | Not available | [VERIFY] | [VERIFY]

Treatment target completion dates other than 15/12/2027 | Risk Treatment Action Plan | Not available | [VERIFY] | [VERIFY]

KRI tolerance thresholds | Monitoring, Review & KRIs | Not available | [VERIFY] | [VERIFY]

6. Unresolved Items & Limitations

Missing item | Section that needs it

Version number of this document | Preparation section 1

Regional category of Coralvale Regional Council | Risk Management Context & Framework

Years Council has been operating | Risk Management Context & Framework

Decision-maker for this matter | Risk Management Context & Framework

Council's top concerns for this project | Risk Identification & Hazard Assessment

Key stakeholders | Risk Management Context & Framework

Project constraints beyond those recorded | Risk Identification & Hazard Assessment

Formality of the document voice | All Final document sections

Plain English level | All Final document sections

Terms to use | All Final document sections

Terms to avoid | All Final document sections

Grammatical person | All Final document sections

House conventions | All Final document sections

Identity of the external consultant covered by the declaration | Preparation section 2

Conflict of interest declarations of tender evaluation participants | Preparation section 2

Delegation instrument under which the officer is acting | Preparation section 3

Local Government Regulation 2012 Chapter 6 section number | Existing Controls Assessment; Risk Treatment Action Plan

Date of access for Research Findings 1, 2 and 3 | Preparation section 5

Rating bands of Council's 5x5 matrix | Residual Risk Calculation & Matrix

Council risk appetite for this project | Risk Management Context & Framework; Residual Risk Calculation & Matrix

Council's current maturity rating under the QAO models | Risk Management Context & Framework

Value of the State grant | Risk Identification & Hazard Assessment

Consequence the grant deed attaches to a missed Practical Completion date | Risk Identification & Hazard Assessment

Dates of the wet season construction window | Risk Identification & Hazard Assessment; Risk Treatment Action Plan

Existing controls for plant failure response (R1) | Existing Controls Assessment

Existing program and deed-milestone monitoring controls (R2) | Existing Controls Assessment

Existing wet season scheduling controls (R3) | Existing Controls Assessment

Operational testing of each existing control | Existing Controls Assessment; Residual Risk Calculation & Matrix

Control type for R3 | Existing Controls Assessment

Target completion dates for treatment actions T1, T3 and T4 | Risk Treatment Action Plan

Date of the next quarterly ARIC report | Risk Treatment Action Plan; Monitoring, Review & KRIs

KRI tolerance thresholds for peak-day demand, wet season days lost and control testing | Monitoring, Review & KRIs

Flesch readability score of the Final document | Preparation section 8

Confirmation of compliance with QLD local government legislation | Preparation section 8

Limitations. The system had no external access, so every fact in both documents is as given at interview or in the council's research findings; nothing has been independently checked. Because the rating bands of Council's 5x5 matrix are [VERIFY], the Final document cannot state which residual risks are High or Extreme, which is the first thing the Committee checks; this is the most material limitation in the register. Residual ratings equal inherent ratings for all three risks because no control has operational testing evidence; they should be re-rated once evidence exists. Research Finding 1 contained a second procurement figure that did not come from the ProcurementThreshold field; it was excluded from both documents under the procurement threshold rule. The two statutory anchors are sourced from the prompt's anchor list, which is not one of the four source types defined for the Source Register, so they are recorded with that source label. The officer recommendation rule could not be applied because a risk register contains no officer recommendation; none was drafted. The resolution month (June 2026) is recorded without a day because no day was given, so it cannot be written in DD/MM/YYYY form. The Format Rule is met in the Word file by setting the register matrix in a landscape section within an A4 portrait document; the reply text carries the same matrix as a Markdown table. No conflict arose between supplied wording and word budgets.

7. Substantive Review Findings

Finding 1: the officer's three risks were given as short titles, not bow-tie statements. Resolved by rewriting each as Cause, Event and Consequence, using only the plant condition, grant deed, wet season and capital cap facts given.

Finding 2: likelihood and consequence descriptors were given without Council's rating bands. Resolved by recording the descriptors as given and writing each rating band as [VERIFY] (Choice B).

Finding 3: no existing control had operational testing evidence. Resolved by rating every control Inadequate, setting residual equal to inherent, and stating the reason in the matrix (Choice C).

Finding 4: every owner given is a single position title. Confirmed; no committee or department is named as an owner.

Finding 5: only one treatment due date (15/12/2027) is fixed by a resolved decision. Resolved by using that date for the Option 3 delivery action and writing [VERIFY] for the others.

Finding 6: the three risks are linked. Resolved by stating in the Final document that R3 is a cause of R2 and that delay extends exposure to R1 (Choice D).

Finding 7: the open tender method was checked against the only threshold given. The capped project value of $18,500,000 ex-GST is above the $200,000 ex-GST public tender threshold, so open tender is consistent with the Procurement Policy 2026. Recorded in the Final document.

Drafting positions considered.

Position set 1, control adequacy for R2. The Enterprise Risk Lead position was Marginal, because the option is resolved, the Practical Completion date is fixed and the procurement method is set, so design exists. The Internal Audit Specialist position was Inadequate, because none of those controls has operational testing evidence. Recommended: Inadequate, re-rated at the first quarterly review at which testing evidence of program and deed-milestone monitoring is tabled.

Position set 2, inherent likelihood for R1. The Enterprise Risk Lead position was that Likely may understate likelihood, because peak-day demand already exceeds firm capacity on a plant with no redundancy. The alternative was to retain the officer's rating. Recommended: retain Likely as given, and ask the Manager Water Operations to confirm or revise it at the next quarterly review.

Position set 3, owner for R2. The Governance Secretariat considered the Director Infrastructure Services, as given, against the Manager Capital Delivery, who is accountable for this document. Recommended: retain the Director Infrastructure Services, as given; the deed exposure is a funding condition for the whole project, and the register should not reassign an owner the officer named.

Position set 4, mandatory executive action plans. The Governance Secretariat position was that all three risks require executive action plans now. The alternative was to wait until Council's risk appetite is confirmed. Recommended: action plans for all three now, because appetite is [VERIFY] and none of the controls can be relied on.

8. Quality & Human Verification Sign-Off

Quality rule	Result	Note
Every Final fact traces to the DNA, a decision or a finding and is in the Source Register	Pass	Each fact is listed in section 5
No placeholder brackets except [VERIFY]	Pass	Only [VERIFY] is used
Reader statement honoured	Pass	Written for the ARIC, External Auditors, General Manager and Risk Owners
Officer recommendation reproduces officer wording	Pass	No officer recommendation exists in this document type; none drafted
Missing facts written as [VERIFY] or as an action	Pass	No "not supplied" wording used
No DNA field names or module numbers in the Final; no label followed by [VERIFY]	Pass	Missing facts stated in plain-English sentences
Australian English	Pass	Spelling checked for Australian forms
No headings in the Final beyond the section list	Pass	Six section headings only
No mention of AI, prompts, panels or process in the Final	Pass	None present
Conflict of interest stated as a fact, not reproduced	Pass	Stated as a declaration of no conflict by the named officer
Readability within Flesch 50-65	[VERIFY]	Officer to run Flesch Reading Ease on the Final document in Word readability statistics
Each section states what its facts mean for the decision	Pass	Consequences drawn from given facts only
Dollar figures labelled ex-GST	Pass	Both figures carry ex-GST
No procurement threshold figure except from the ProcurementThreshold field	Pass	Only $200,000 ex-GST appears
Dates in DD/MM/YYYY	Pass	Month-only resolution date noted in section 6
Full compliance with QLD local government legislation	[VERIFY]	Officer or governance adviser to confirm; no Act text was available
Preparation carries eight sections, declarations and an unsigned sign-off	Pass	Sections 1 to 8 present

Quality rule	Result	Note
No filler words	Pass	None used
Final check for label-[VERIFY], "not provided", "not supplied" and "the supplied information"	Pass	None found

Field	Entry
Reviewed and accepted by (signature)	
Name and position	J. Smith, Manager Capital Delivery
Date (DD/MM/YYYY)	

This document is not accepted until the officer named above has signed it.