

# Governance and Management Checklist

# 3.5

The following are the results in the prescribed form of Council's assessment against the prescribed governance and management checklist:

Item No.	Government and Management Items	Assessment
1	<b>Community Engagement Policy</b> (Policy under Section 55 of the Act outlining Council's commitment to engaging with the community on matters of public interest)	Adopted in accordance with Section 55 of the Act - <i>Communication and Engagement Policy</i>  Date of adoption: 24 February 2021
2	<b>Community Engagement Guidelines</b> (Guidelines to assist staff to determine when and how to engage with the community)	<i>Community Engagement Strategy 2020-2024</i>  Date of adoption: 19 May 2021  As part of this process, Council's <i>Community Engagement Guidelines</i> were introduced to the organisation in May 2021.
3	<b>Financial Plan</b> (Plan under Section 91 of the Act outlining the financial and non-financial resources required for at least the next ten financial years)	Adopted in accordance with Section 91 of the Act. <i>Financial Plan 2022/23-2031/32</i>  Date of adoption: 29 June 2022
4	<b>Asset Plan</b> (Plan under Section 92 of the Act setting out the asset maintenance and renewal needs for key infrastructure asset classes for at least the next ten years)	Adopted in accordance with Section 92 of the Act. <i>Asset Plan 2022/23-2031/32</i>  Date of adoption: 29 June 2022
5	<b>Revenue and Rating Plan</b> (Plan under Section 93 of the Act setting out the rating structure of Council to levy rates and charges)	Adopted in accordance with Section 93 of the Act. <i>Revenue and Rating Plan 2022-2026</i>  Date of adoption: 29 June 2022
6	<b>Annual Budget</b> (Plan under Section 94 of the Act setting out the services to be provided and initiatives to be undertaken during the budget year and the funding and other resources required)	Adopted in accordance with Section 94 of the Act. <i>Annual Budget 2022/23-2025/26</i>  Date of adoption: 29 June 2022
7	<b>Risk Policy</b> (Policy outlining Council's commitment and approach to minimising the risks to Council's operations)	<i>Risk Management Policy</i>  Date of adoption: 24 February 2021

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8	<b>Fraud Policy</b> (Policy outlining Council's commitment and approach to minimising the risk of fraud)	<i>Fraud and Corrupt Conduct Policy</i>  Date of adoption: 19 May 2021
9	<b>Municipal Emergency Management Plan</b> (Plan under section 60ADB of the <i>Emergency Management Act 2013</i> for emergency mitigation, response and recovery)	From 1 December 2020, key emergency management responsibilities of councils stem primarily from Section 59 of the <i>Emergency Management Act 2013</i> , which require:  That Council establish the <i>Municipal Emergency Management Planning Committee (MEMPC)</i> in accordance with the provision of Section 68 of the <i>Emergency Management Legislation Amendment Act 2018</i>  Established: 21 April 2021 Council Meeting  That Council participate in the preparation and maintenance of the <i>Municipal Emergency Management Plan (MEMP)</i> through the MEMPC.  Date of Approval: the South Gippsland MEMP was adopted by the South Gippsland MEMPC on 6 August 2021 and endorsed by the Committee on the 2 September 2021. MEMP's are required to be assured on a three-year basis and is due by August 2024.
10	<b>Procurement Policy</b> (Policy under section 108 of the Act outlining the principles, processes and procedures that will apply to all purchases of goods and services by the Council)	<i>Procurement Policy</i> prepared and adopted in accordance with Sections 108 and 109 of the Act.  Date of adoption: 21 July 2021
11	<b>Business Continuity Plan</b> (Plan setting out the actions that will be undertaken to ensure that key services continue to operate in the event of a disaster)	The Business Continuity Plans - Part A and Part B including Council's <i>Business Continuity Management Policy</i> was endorsed by the Audit and Risk Committee.  Date of endorsement: 8 June 2021
12	<b>Disaster Recovery Plan</b> (Plan setting out the actions that will be undertaken to recover and restore business capability in the event of a disaster)	Endorsed by the Strategic Risk Committee  Date of adoption: February 2019  Review last updated in May 2020

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13	<b>Risk Management Framework</b> (Framework outlining Council's approach to managing risks to the Council's operations)	<i>Risk Management Framework</i> Date of adoption: 24 February 2021
14	<b>Audit and Risk Committee</b> (Advisory committee of Council under Section 53 and 54 of the Act)	The Audit and Risk Committee established in accordance with Section 53 of the Act. Date of establishment: 26 August 2020 <i>South Gippsland Shire Council Audit and Risk Committee Charter</i> was adopted by Council 26 August 2020 in accordance with Section 54 of the Act.
15	<b>Internal Audit</b> (Independent accounting professionals engaged by the Council to provide analyses and recommendations aimed at improving Council's governance, risk and management controls)	Internal Auditor engaged Date of engagement of current provider: 1 July 2016 Council was on schedule to update the Internal Auditor on 1 July 2022
16	<b>Performance Reporting Framework</b> (A set of indicators measuring financial and non-financial performance, including the performance indicators referred to in Section 98 of the Act)	Performance Reporting Framework is set out in the <i>Council Plan 2020-2024</i> and the <i>2021/22 Annual Budget</i> Date of adoption: 23 June 2021 A new <i>Council Plan 2022-2026</i> was adopted at the 29 June 2022 Council Meeting.
17	<b>Council Plan Report</b> (Report reviewing the performance of the Council against the Council Plan, including the results in relation to the strategic indicators, for the first six months of the financial year)	<i>Council Plan 2020-2024</i> Date of adoption: 23 June 2021 Council Plan and Annual Plan reporting is provided in the <i>Organisational Performance Reports</i> to Council conducted quarterly. Date of reports: <ul style="list-style-type: none"> <li>• Full Year 2020/21 compiled for the Annual Report based on the <i>Council Plan 2020-2024</i> and <i>2020/21 Annual Initiatives</i> - adopted 20 October 2021</li> <li>• 2021/22 First Quarter report adopted: Council Meeting - 24 November 2021</li> <li>• 2021/22 Half Year report adopted: Council Meeting - 16 February 2022</li> <li>• 2021/22 Three Quarter report adopted: Council Meeting - 18 May 2022</li> </ul>

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18	<p><b>Quarterly Budget Reports</b> (Quarterly reports to Council under Section 97 of the Act, comparing actual and budgeted results and an explanation of any material variation)</p>	<p>Reports presented to Council in accordance with Section 97 of the Act.</p> <p><i>Financial Plan 2021/22-2030/31</i></p> <p>Date of adoption: 23 June 2021</p> <p>Financial reporting provided in Quarterly Performance Reports to Council.</p> <p>Date reports presented:</p> <ul style="list-style-type: none"> <li>• 2021/22 First Quarter report adopted: Council Meeting - 24 November 2021</li> <li>• 2021/22 Half Year report adopted: Council Meeting - 16 March 2022</li> <li>• 2021/22 Three Quarter report adopted: Council Meeting - 18 May 2022</li> </ul>
19	<p><b>Risk Reporting</b> (Six-monthly reports of strategic risks to Council's operations, their likelihood and consequences of occurring and risk minimisation strategies)</p>	<p>Audit and Risk Committee review of the Strategic Risk Register was presented on 7 December 2022 as a part of the <i>Quarterly Risk Management Report</i>.</p>
20	<p><b>Performance Reporting</b> (Six-monthly reports of indicators measuring the results against financial and non-financial performance, including performance indicators referred to in Section 98 of the Act)</p>	<p>The <i>Council Plan 2020-2024</i> and the <i>2021/22 Annual Initiatives</i> are reported quarterly in Council's <i>Organisational Performance Reports</i> as follow:</p> <p>2021/22 First Quarter report adopted:</p> <ul style="list-style-type: none"> <li>• Council Meeting - 20 October 2021</li> <li>• Audit and Risk Committee - 14 December 2021</li> </ul> <p>2021/22 Half Year report adopted:</p> <ul style="list-style-type: none"> <li>• Council Meeting - 16 February 2022</li> <li>• Audit and Risk Committee - 1 March 2022</li> </ul> <p>2021/22 Three Quarter report adopted:</p> <ul style="list-style-type: none"> <li>• Council Meeting - 18 May 2022</li> <li>• Audit and Risk Committee - 14 June 2022</li> </ul> <p>Separate quarterly reports on LGPRF performance indicators are also presented to the Audit and Risk Committee and is considered and reviewed by the Executive Leadership Team prior.</p>
21	<p><b>Annual Report</b> (Annual report under Sections 98 and 99 of the Act containing a report of operations and audited financial and performance statements)</p>	<p>The Financial and Performance Statements were adopted at the 15 September 2021 Council Meeting, upon receipt of the Victorian Auditor-General's Office (VAGO) certificate these documents were combined into the full <i>2020/21 Annual Report</i> and submitted to the Minister for Local Government by 30 September 2021. The full <i>2020/21 Annual Report</i> was adopted at the 20 October 2021 Council Meeting.</p>
22	<p><b>Councillor Code of Conduct</b> (Code under Section 139 of the Act setting out the standards of conduct to be followed by Councillors and other matters)</p>	<p>Adopted in accordance with Section 139 of the Act.</p> <p><i>Councillor Code of Conduct (C14)</i></p> <p>Date of adoption: 16 February 2022</p>

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23	<p><b>Delegations</b> (Documents setting out the powers, duties and functions of Council and the Chief Executive Officer that have been delegated to members of staff, in accordance with Sections 11 and 47 of the Act)</p>	<p>The delegations were reviewed in accordance with section 11(7) of the Act and a register kept in accordance with section 11(8) and 47(7) of the Act.</p> <p>The delegations were signed by the CEO on:</p> <ul style="list-style-type: none"> <li>• Council to CEO (S5) - 16 March 2022</li> <li>• Council to Staff (S6) – 16 June 2021</li> <li>• Sub-delegation by CEO to Staff (S7) – 15 June 2021</li> <li>• Sub-delegation by CEO to Staff (S7A) - under <i>Local Government Act 1989</i> and <i>Local Government Act 2020</i> – 2 September 2020</li> <li>• Sub-delegation by CEO to Staff (S7A) – Miscellaneous Delegations – 2 September 2020</li> <li>• Municipal Building Surveyor to Staff (S12) – 26 May 2021</li> <li>• CEO Powers, Duties and Functions to Staff (S13) – 15 June 2021</li> <li>• Sub-delegation by CEO Powers, Duties and Functions to Staff (S13A) - 10 June 2020</li> <li>• CEO to Staff (VICSmart Applications) under the <i>Planning and Environmental Act 1987</i> (S14) – 2 September 2020</li> <li>• S16 - CEO to Staff (Bushfire Reconstruction Application under the <i>Planning and Environment Act 1987</i>) - 26 April 2021</li> </ul>
24	<p><b>Meeting procedures</b> (Governance Rules under Section 60 of the Act governing the conduct of meetings of Council and delegated committees)</p>	<p>Adopted in accordance with Section 60 of the Act.</p> <p><i>Governance Rules (C82)</i></p> <p>Date of adoption: 26 August 2020</p>

I certify that this information presents fairly the status of Council's governance and management arrangements.

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**Kerryn Ellis**  
**Chief Executive Officer**  
**Date:** 19 October 2022

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**Mohya Davies**  
**Mayor**  
**Date:** 19 October 2022

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