

# GOVERNANCE MANAGEMENT CHECKLIST

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)	Community Engagement Plan and Toolkit guidelines incorporated into the plan were endorsed by the Executive Leadership Team  Date of adoption: February 2017  <i>Community Engagement Strategy 2020-2024</i>  Date of adoption: 19 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  Financial Plan 2021/22 - 2030/31  Date of adoption: 23 June 2021
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)	No Ten-Year Asset Plan  South Gippsland Shire Council's general election is occurring in October 2021.  As per section 92(4) of the Act, a Council must develop or review Council's Asset Plan in accordance with its deliberative engagement practices and adopt the Asset Plan by 31 October in the year following a general election. These plans will be developed in 2022, following the election.  The Asset Management Plans remain in operation under the <i>Local Government Act 1989</i> as of 1 July 2020:  1. Buildings 2. Roads Infrastructure (includes bridges, footpaths, cycle-ways, and storm water drainage), 3. Open Space (formally Parks, Gardens and Reserves)

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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)	No Revenue and Rating Plan  As per section 93 of the Act, a Council must prepare and adopt a <i>Revenue and Rating Plan</i> by the next 30 June after a general election for a period of at least the next four financial years. Council's general election is to take place in October 2021. Council's current <i>Rating Strategy 2019-2022</i> is in place.  Date of adoption: 24 July 2019
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>2021/22 Annual Budget</i>  Date of adoption: 23 June 2021
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
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 20 of the <i>Emergency Management Act 1986</i> for emergency mitigation, response and recovery)	<i>2018-2021 South Gippsland Municipal Emergency Management Plan</i> was prepared and maintained in accordance with section 20 of the <i>Emergency Management Act 1986</i>  Date of approval: 24 October 2018
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 section 186A of the <i>Local Government Act 1989</i> .  Date of adoption: 24 June 2020  Note: Council's <i>Procurement Policy</i> required under the <i>Local Government Act 2020</i> to be adopted within six months of 1 July 2021, was on schedule to be adopted at the 14 July 2021 Council Meeting.
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 <i>Audit and Risk Committee</i> 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
16	<b>Performance Reporting Framework</b> (a set of indicators measuring financial and non-financial performance, including the performance indicators referred to in section 131 of the <i>Local Government Act 1989</i> )	Performance Reporting Framework is set out in the <i>Council Plan 2020-2024</i> and the <i>2020/21 Annual Budget</i> Date of adoption: 24 June 2020
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: 24 June 2020 Council Plan and Annual Plan reporting is provided in <i>Organisational Performance Reports</i> to Council conducted quarterly. Date of reports: <ul style="list-style-type: none"> <li>• Full Year 2019/20 compiled for the Annual Report based on the <i>2017-2021 Council Plan</i> and <i>2019/20 Annual Initiatives</i> - adopted 23 September 2020</li> <li>• 2020/21 First Quarter report adopted: Council Meeting - 25 November 2020</li> <li>• 2020/21 Half Year report adopted: Council Meeting - 24 February 2021</li> <li>• 2020/21 Three Quarter report adopted: Council Meeting - 19 May 2021</li> </ul>

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18	<b>Financial Reporting</b> (quarterly statements to Council under section 138(1) of the <i>Local Government Act 1989</i> comparing budgeted revenue and expenditure with actual revenue and expenditure)	Reports presented to Council in accordance with section 138(1) of the <i>Local Government Act 1989</i> . Long Term Financial Strategy Date of adoption: 28 November 2018 Financial reporting provided in Quarterly Performance Reports to Council. Date reports presented: First Report: 1 July 2020 to 30 September 2020 <ul style="list-style-type: none"> <li>Council Meeting - 28 October 2020</li> </ul> Second Report: 1 July 2020 to 31 December 2020 <ul style="list-style-type: none"> <li>Council Meeting - 17 March 2021</li> </ul> Third Report: 1 July 2020 to 31 March 2021 <ul style="list-style-type: none"> <li>Council Meeting - 19 May 2021</li> </ul>
19	<b>Risk Reporting</b> (six-monthly reports of strategic risks to Council's operations, their likelihood and consequences of occurring and risk minimisation strategies)	Audit and Risk Committee review of the Strategic Risk Register was presented on 9 March 2021 as a part of the Quarterly Risk Management Report and an extra meeting was held with Administrators, Audit and Risk Committee Members and the Executive Leadership Team on 19 May 2021 to identify and provide guidance on strategic risks.
20	<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 131 of the <i>Local Government Act 1989</i> )	The <i>Council Plan 2020-2024</i> and the <i>2020/21 Annual Initiatives</i> are reported quarterly in Council's <i>Organisational Performance Reports</i> as follow: First Report: 1 July 2020 to 30 September 2020 <ul style="list-style-type: none"> <li>Council Meeting - 25 November 2020</li> <li>Audit and Risk Committee - 8 December 2020</li> </ul> Second Report: 1 July 2020 to 31 December 2020 <ul style="list-style-type: none"> <li>Council Meeting - 24 February 2021</li> <li>Audit and Risk Committee - 9 March 2021</li> </ul> Third Report: 1 July 2020 to 31 March 2021 <ul style="list-style-type: none"> <li>Council Meeting - 19 May 2021</li> <li>Audit and Risk Committee - 8 June 2021</li> </ul> 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.
21	<b>Annual Report</b> (annual report under sections 131, 132 and 133 of the <i>Local Government Act 1989</i> to the community containing a report of operations and audited financial and performance statements)	The 2019/20 Annual Report was adopted by Council on 23 September 2020. The final version after being presented to the Minister for Local Government was adopted by Council on 28 October 2020.
22	<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)	The revised <i>Councillor Code of Conduct</i> was reviewed in accordance with section 76C of the <i>Local Government Act 1989</i> Date of adoption: 22 February 2017 Under section 139 of the <i>Local Government Act 2020</i> , Council must review and adopt a revised Councillor Code of Conduct - setting out the standards of conduct within the period of four months after a general election. South Gippsland Shire Council election is scheduled to be held in October 2021.

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23	<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>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) - 24 June 2020</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	<b>Meeting procedures</b> (Governance Rules under section 60 of the Act governing the conduct of meetings of Council and delegated committees)	<p>Meeting procedures local law made in accordance with <i>Local Government Act 1989</i> and <i>Local Government Act 2020</i></p> <p>Date of Local Law made: 23 September 2020</p> <p><i>Governance Rules</i> adopted in accordance with section 60 of the <i>Local Government Act 2020</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.



Kerry Ellis

Chief Executive Officer

Dated: 15 September 2021

Leongatha



Julie Eisenbise

Administrator (Chair)

Dated: 15 September 2021

Leongatha