

# Governance and Management Checklist

This checklist increases transparent reporting and is prescribed under the *Local Government Act 2020* (The Act). The checklist measures whether a council has strong governance and management frameworks in place covering community engagement, planning, monitoring, reporting and decision making.

<p><b>Community engagement policy</b></p> <p>Outlines Council's commitment to engaging with the community on matters of public interest</p>	<p><b>Adopted in accordance with Section 55 of the Act</b></p> <p>Date of adoption: 17/02/2021</p>	<input checked="" type="checkbox"/>
<p><b>Community engagement guidelines</b></p> <p>Assists staff to determine when and how to engage with the community</p>	<p><b>Guidelines (online toolkit)</b></p> <p>Date of operation of current guidelines: 20 March 2021</p>	<input checked="" type="checkbox"/>
<p><b>Financial Plan</b></p> <p>Outlines the financial and non-financial resources required for at least the next 10 financial years</p>	<p><b>Adopted in accordance with Section 91 of the Act</b></p> <p>Date of adoption: 20 June 2023 as part of the Integrated Year Three Council Plan 2021-31</p>	<input checked="" type="checkbox"/>
<p><b>Asset plans</b></p> <p>Sets out the asset maintenance and renewal needs for key infrastructure asset classes for at least the next 10 years</p>	<p><b>Adopted in accordance with Section 92 of the Act</b></p> <p>Asset Management Policy Date of adoption: 18 June 2021 Enterprise Asset Management Plan 2022-32 Date of adoption: 29 June 2022</p>	<input checked="" type="checkbox"/>
<p><b>Revenue and Rating Plan</b></p> <p>Sets out the rating structure of Council to levy rates and charges</p>	<p><b>Adopted in accordance with Section 93 of the Act</b></p> <p>Date of adoption: 29/06/2022</p>	<input checked="" type="checkbox"/>
<p><b>Annual budget</b></p> <p>Sets out the services to be provided and initiatives to be undertaken during the next 12 months, and the funding and other resources required</p>	<p><b>Adopted in accordance with Section 94 of the Act</b></p> <p>Date of adoption: 20 June 2023 as part of the Integrated Year Three Council Plan 2021-31</p>	<input checked="" type="checkbox"/>
<p><b>Risk policy</b></p> <p>Outlines Council's commitment and approach to minimising the risks to Council's operations</p>	<p><b>Current policy in operation</b></p> <p>Date of commencement of current policy: 7/06/2017 Council's Risk Policy has been updated - listed for endorsement by Council 6 September 2023.</p>	<input checked="" type="checkbox"/>
<p><b>Fraud policy</b></p> <p>Outlines Council's commitment and approach to minimising the risk of fraud</p>	<p><b>Current policy in operation</b></p> <p>Date of commencement of current policy: 20/05/2020</p>	<input checked="" type="checkbox"/>

<b>Municipal emergency management plan</b>	<b>Prepared and maintained in accordance with section 60ADB of the <i>Emergency Management Act 2013</i></b>	☑
Plan under Section 60ADB of the <i>Emergency Management Act 2013</i> for emergency prevention, response and recovery	Date of operation of current Plan: 24/06/2022	
<b>Procurement policy</b>	<b>Adopted in accordance with Section 108 of the Act</b>	☑
Policy under section 108 of the Act outlining the principles, processes and procedures that will apply to the purchase of goods and services by the Council	Date of adoption: 04/04/2023	
<b>Business continuity plan</b>	<b>Current plan in operation</b>	☑
Sets out the actions that will be taken to ensure that key services continue to operate in the event of a disaster	Date of operation: 28/01/2020 All department sub plans were reviewed following COVID-19. A review of the overall organisation wide Business Continuity Plan is scheduled for 2023/24.	
<b>Disaster recovery plan</b>	<b>Current plan in operation</b>	☑
Sets out the actions that will be undertaken to recover and restore business capability in the event of a disaster	Date of operation: 7/09/2021	
<b>Risk management framework</b>	<b>Current framework in operation</b>	☑
Outlines Council's approach to managing risks to Council's operations	Date of establishment: 9/07/2018 Council's Risk Management Framework has been updated - listed for noting by Council 6 September 2023.	
<b>Audit and Risk Committee</b>	<b>Established in accordance with Section 53 of the Act</b>	☑
Advisory committee of Council under Section 53 of the Act whose role is to oversee the integrity of Council's financial reporting, processes to manage risks to Council's operations and compliance with applicable legal, ethical, and regulatory requirements	Date of establishment: 1/09/2021 Audit and Risk Committee Charter and Annual Workplan is reviewed annually.	
<b>Internal audit</b>	<b>Engaged</b>	☑
Independent accounting professionals engaged by Council to provide analysis and recommendations aimed at improving Council's governance, risk and management controls	Date of engagement: 18/04/2019 Final one year extension option for Internal Audit and Core Assurance Services contract exercised - from 1 May 2023 to 30 April 2024. Contract was initially awarded in 2019.	

<p><b>Performance reporting framework</b></p> <p>A set of indicators measuring financial and non-financial performance, including the performance indicators referred to in Section 98 of the Act</p>	<p><b>Current framework in operation</b> <input checked="" type="checkbox"/></p> <p>Date of adoption of current framework: 29 June 2022 as part of Integrated Council Plan 2021-31</p>
<p><b>Council Plan report</b></p> <p>Reviews the performance of Council against the Council Plan, including the results in relation to the strategic year indicators, for the first six months of the financial year</p>	<p><b>Current report</b> <input checked="" type="checkbox"/></p> <p>Dates of reports presented:</p> <ul style="list-style-type: none"> <li>• First quarter report 2 November 2022</li> <li>• Bi-annual report 15 February 2023</li> <li>• Third quarter report 17 May 2023</li> </ul>
<p><b>Quarterly budget reports</b></p> <p>Quarterly reports to Council under Section 97 of the Act, comparing actual and budgeted results and an explanation of any material variations</p>	<p><b>Quarterly reports presented to the Council in accordance with Section 97(1) of the Act</b> <input checked="" type="checkbox"/></p> <p>Dates reports presented:</p> <ul style="list-style-type: none"> <li>• First Quarter Report 2 November 2022</li> <li>• Mid-Year Financial Review 15 February 2023</li> <li>• Third Quarter Report 3 May 2023</li> </ul>
<p><b>Risk reporting</b></p> <p>Six-monthly reports of strategic risks to Council's operations, their likelihood and consequences of occurring, and risk minimisation strategies</p>	<p><b>Risk reports prepared and presented</b> <input checked="" type="checkbox"/></p> <p>Operational Risk Reporting - Operational High Risks are shared at every Strategic Risk and Internal Audit Committee (SRIA) Meeting: 11 July 2022, 8 August 2022, 12 September 2022, 10 October 2022, 14 November 2022, 12 December 2022, 30 January 2023, 14 March 2023, 11 April 2023, 8 May 2023 and 13 June 2023.</p> <p>Strategic Risk Reporting: 14 November 2022, 8 December 2022, Strategic Risk Workshop with the Leadership Network 13 April 2023.</p> <p>Next review of Strategic Risks scheduled for SRIA review September 2023.</p>
<p><b>Performance reporting</b></p> <p>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><b>Performance reports prepared</b> <input checked="" type="checkbox"/></p> <p>Date of reports:</p> <ul style="list-style-type: none"> <li>• First quarter report 02 November 2022</li> <li>• Bi-annual report 15 February 2023</li> <li>• Third quarter report 17 May 2023</li> </ul>
<p><b>Annual Report</b></p> <p>Annual Report under Sections 98, 99 and 100 of the Act containing a report of operations and audited financial and performance statements</p>	<p><b>Annual report presented at a meeting of Council in accordance with Section 100 of the Act</b> <input checked="" type="checkbox"/></p> <p>Date of consideration: 19/10/2022</p>

<p><b>Councillor Code of Conduct</b></p> <p>Code under Section 139 of the Act setting out the standards of conduct to be followed by Councillors and other matters</p>	<p><b>Code of conduct reviewed and adopted in accordance with Section 139 of the Act</b> <input checked="" type="checkbox"/></p> <p>Date adopted: 17/02/2021</p>
<p><b>Delegations</b></p> <p>Sets out the powers, duties and functions of Council and the Chief Executive Officer that have been delegated to members of staff</p>	<p><b>Delegations reviewed in accordance with Section 11(7) of the Act and a register kept in accordance with Sections 11(8) and 47(7) of the Act</b> <input checked="" type="checkbox"/></p> <p>Date reviewed:</p> <ul style="list-style-type: none"> <li>- Council delegation to CEO: 20 October 2021</li> <li>- Council delegation to CEO South Melbourne Market: 20 October 2021</li> <li>- Council delegation to Members of Staff: 7 June 2023</li> <li>- Council delegation to Planning Committee: 20 October 2021</li> <li>- CEO delegations to Staff: 12 September 2022</li> <li>- CEO delegation of CEO Powers, Duties and Functions: 28 March 2023</li> <li>- CEO delegation to Staff for VicSmart applications under the Planning and Environment Act 1987: 28 January 2022</li> <li>- CEO delegation to Municipal Building Surveyor: 11 February 2022</li> </ul>
<p><b>Meeting procedures</b></p> <p>Governance Rules under Section 60 of the Act governing the conduct of meetings of Council and delegated committees</p>	<p><b>Governance Rules adopted in accordance with Section 60 of the Act</b> <input checked="" type="checkbox"/></p> <p>Date Governance Rules adopted: 2/11/2022</p> <p>Latest revision endorsed by Council at the Council meeting 2 November 2022.</p>

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

**Cr. Heather Cunsolo**  
 Mayor and Councillor  
 September 2023  
 St Kilda

**Chris Carroll**  
 Chief Executive Officer  
 September 2023  
 St Kilda