



## **Appendix 5c**

### **16.3 Adoption of 2021–22 Annual Financial Report and 2021–22 Performance Statement**

*Governance and Management Checklist 2021–22*

# **Ordinary Meeting of Council**

Wednesday 28 September 2022 at 7:00pm

Queenscliff Town Hall

**BOROUGH OF QUEENSCLIFFE - GOVERNANCE AND MANAGEMENT CHECKLIST: 2021–22**

The following are the results in the prescribed form of council’s assessment against the prescribed governance and management checklist.

|     | Governance and Management Item   | Required  | YES | Commentary  |
|-----|--|---|-----|---|
|     |  |   | NO  |   |
| GC1 | <b>Community engagement policy</b> (policy outlining Council's commitment to engaging with the community on matters of public interest)  | Adopted in accordance with section 55 of the Act        | YES | Date of operation of current policy: 16/12/2020   |
| GC2 | <b>Community engagement guidelines</b> (guidelines to assist staff to determine when and how to engage with the community)   | Current guidelines in operation                         | YES | Date of operation of current guidelines: 16/12/2020   |
| GC3 | <b>Financial Plan</b> (plan under section 91 of the Act outlining the financial and non-financial resources required for at least the next 10 financial years)                                       | Adopted in accordance with section 91 of the Act        | YES | Date of adoption: 22 June 2022  |
| GC4 | <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 10 years)                         | Adopted in accordance with section 92 of the Act        | NO  | Date of adoption of current plans:<br>Roads, Footpath and Kerb Assets 20/06/2019<br>Building Assets 20/06/2019<br>Open Space Assets 20/06/2019<br>Urban Stormwater Drainage 20/06/2019<br>(Council is in the process of reviewing its asset plans in line with the section 92 of the Act) |
| GC5 | <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        | YES | Date of adoption: 23/06/2021  |
| GC6 | <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) | Budget adopted in accordance with section 94 of the Act | YES | Date of adoption: 22/06/2022  |
| GC7 | <b>Risk policy</b> (policy outlining Council's commitment and approach to minimising the risks to Council's operations)  | Current policy in operation                             | YES | Date of operation of current policy: 23/06/2021   |

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|      | Governance and Management Item  | Required  | YES | Commentary   |
|------|---|---|-----|--|
|      |   |   | NO  |  |
| GC8  | <b>Fraud policy</b> (policy outlining Council's commitment and approach to minimising the risk of fraud)  | Current policy in operation   | YES | Date of operation of current policy: 27/10/2021  |
| GC9  | <b>Municipal emergency management plan</b> (plan under section 60ADB of the Emergency Management Act 2013 for emergency mitigation, response and recovery)                              | Prepared and maintained in accordance with section 60ADB of the Emergency Management Act 2013 | YES | Date of operation of current plan: 23/04/2019<br>As per the transitional provisions of the Emergency Management Legislation Amendment Act 2018, the current plan, while based on the Emergency Management Act 1986, is taken to be prepared, approved and published in accordance with the Emergency Management Act 2013.<br>Note that the current plan is under review and the new version is being prepared in accordance with section 60ADB of the Emergency Management Act 2013. |
| GC10 | <b>Procurement policy</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) | Adopted in accordance with section 108 of the Act   | YES | Date of operation of current policy: 27/10/2021  |
| GC11 | <b>Business continuity plan</b> (plan setting out the actions that will be taken to ensure that key services continue to operate in the event of a disaster)                            | Current plan in operation   | YES | Date of operation of current plan: 30/10/2019  |
| GC12 | <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)                              | Current plan in operation   | YES | Date of operation of current plan: 30/10/2019  |
| GC13 | <b>Risk management framework</b> (framework outlining Council's approach to managing risks to the Council's operations)   | Current framework in operation  | YES | Date of operation of current framework: 23/06/2021<br>(included within the risk policy)  |
| GC14 | <b>Audit and Risk Committee</b> (advisory committee of Council under section 53 and 54 of the Act)  | Established in accordance with section 53 of the Act  | YES | Date of establishment: 27/08/2020  |

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|      | Governance and Management Item   | Required   | YES | Commentary   |
|------|--|--|-----|--|
|      |  |  | NO  |  |
| GC15 | <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   | YES | Engaged, date of engagement of current provider: 24/08/2017  |
| GC16 | <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 Local Government Act 2020)      | Current framework in operation   | YES | Date of operation of current framework: 01/07/2015   |
| GC17 | <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) | Current report   | YES | Date of reports:<br>2020-21 Quarter 4 Council Plan Progress Report 22/09/2021<br>2021-22 Quarter 1 Council Plan Progress Report 27/10/2021<br>2021-22 Quarter 2 Council Plan Progress Report 23/02/2022<br>2021-22 Quarter 3 Council Plan Progress Report 27/04/2022 |
| GC18 | <b>Financial reporting</b> (quarterly statements to the Council under section 97(1) of the Local Government Act 2020, comparing actual and budgeted results and an explanation of any material variations).          | Reports presented to the Council in accordance with section 97(1) of the Local Government Act 2020 | YES | Dates of reports:<br>2020-21 Quarter 4 Finance Report 22/09/2021<br>2021-22 Quarter 1 Finance Report 27/10/2021<br>2021-22 Quarter 2 Finance Report 23/02/2022<br>2021-22 Quarter 3 Finance Report 27/04/2022  |
| GC19 | <b>Risk reporting</b> (6-monthly reports of strategic risks to Council's operations, their likelihood and consequences of occurring and risk minimisation strategies)  | Risk reports prepared and presented  | YES | Dates of presentation of reports:<br>Updated risk register presented to the Audit and Risk committee 06/12/2021<br>Updated risk register presented to the Audit and Risk committee 06/06/2022  |

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|------|--|---|-----|--|
|      |  |   | NO  |  |
| GC20 | <b>Performance reporting</b> (6-monthly reports of indicators measuring financial and non-financial performance, including the performance indicators referred to in section 98 of the Local Government Act 2020)      | Performance reports prepared and presented  | YES | Dates of presentation of reports:<br>2020/21 Performance Report 22/09/2021<br>2021/22 YTD (6 months) Performance information included in 2021/22 Quarter 2 Finance Report 23/02/2022 |
| GC21 | <b>Annual report</b> (annual report under sections 98, 99 and 100 of the Local Government Act 2020 containing a report of operations and audited financial and performance statements)                                 | Presented at a meeting of the Council in accordance with section 100 of the Act   | YES | Date considered; 27/10/2021 Ordinary Council Meeting.  |
| GC22 | <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)   | Code of conduct reviewed and adopted in accordance with section 139 of the Act  | YES | Date of review : 17/02/2021  |
| GC23 | <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)) | 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 | YES | Date of review: 22/09/2021   |
| GC24 | <b>Meeting procedures</b> (Governance Rules under section 60 of the Act governing the conduct of meetings of Council and delegated committees)   | Governance Rules adopted in accordance with section 60 of the Act   | YES | Date adopted: 27/10/2021   |

### Certification of the governance and management checklist

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

Matin Gill  
Chief Executive Officer  
Date: 28 September 2022  
Queenscliff

Councillor Ross Ebbels  
Mayor  
Date: 28 September 2022  
Queenscliff