



## **Appendix 4b**

### **15.2 Quarterly Financial Report as at 31 December 2020**

*Governance & Management Checklist*

# **Ordinary Meeting of Council**

Thursday 27 February 2020 at 7:00pm

Queenscliff Town Hall  
50 Learmonth Street, Queenscliff

## Borough of Queenscliffe

### Governance and management checklist

No.	Governance and Management Items	2019/20 Assessment	Y/N
1	<b>Community engagement policy</b> (policy outlining Council's commitment to engaging with the community on matters of public interest)	Current policy in operation Date of operation of current policy: 24/09/2014 Previous review was due in 2016. A review to be completed by end of 2020.	YES
2	<b>Community engagement guidelines</b> (guidelines to assist staff to determine when and how to engage with the community)	Current guidelines in operation Date of operation of current guidelines: 24/09/2014 Previous review was due in 2016. A review to be completed by end of 2020.	YES
3	<b>Strategic Resource Plan</b> (plan under section 126 of the Act outlining the financial and non-financial resources required for at least the next 4 financial years)	Plan adopted in accordance with section 126 of the Act Plan adopted by Council: 20/06/2019 2020/21 Budget (including SRP) scheduled for adoption by Council 18/06/2020, on track to achieve this outcome	YES
4	<b>Annual budget</b> (plan under section 130 of the Act setting out the services to be provided and initiatives to be undertaken over the next 12 months and the funding and other resources required)	Budget adopted in accordance with section 130 of the Act Budget adopted by Council: 20/06/2019 2020/21 Budget (including SRP) scheduled for adoption by Council 18/06/2020, on track to achieve this outcome	YES
5	<b>Asset management plans</b> (plans that set out the asset maintenance and renewal needs for key infrastructure asset classes for at least the next 10 years)	Current plans in operation Date of adoption of current plans: Roads, Footpath and Kerb Assets 20/06/2019 Building Assets 20/06/2019 Open Space Assets 20/06/2019 Urban Stormwater Drainage 20/06/2019	YES
6	<b>Rating strategy</b> (strategy setting out the rating structure of Council to levy rates and charges)	Current strategy in operation and remains relevant. Date of operation of current strategy: 20/06/2019 Next planned review in 2021.	YES
7	<b>Risk policy</b> (policy outlining Council's commitment and approach to minimising the risks to Council's operations)	Current policy in operation Date of operation of current policy: 13/12/2018 Next planned review in December 2020	YES
8	<b>Fraud policy</b> (policy outlining Council's commitment and approach to minimising the risk of fraud)	Current policy in operation Date of operation of current policy: 01/03/2018 Next planned review in March 2021	YES

## Borough of Queenscliffe

### Governance and management checklist

No.	Governance and Management Items	2019/20 Assessment	Y/N
9	<b>Municipal emergency management plan</b> (plan under section 20 of the Emergency Management Act 1986 for emergency prevention, response and recovery)	Prepared and maintained in accordance with section 20 of the Emergency Management Act 1986 Date prepared and maintained in accordance with section 20 of the Emergency Management Act 1986: 22/01/2019	YES
10	<b>Procurement policy</b> (policy under section 186A of the <i>Local Government Act 1989</i> outlining the matters, practices and procedures that will apply to all purchases of goods, services and works)	Current policy in operation Date of operation of current policy: 20/06/19 Next planned review in May 2020	YES
11	<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 Date of operation of current plan: 30/10/2019	YES
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)	Current plan in operation Date of operation of current plan: 30/10/2019	YES
13	<b>Risk management framework</b> (framework outlining Council's approach to managing risks to the Council's operations)	Current framework in operation Date of operation of current framework: 13/12/2018 Next planned review in Dec 2020	YES
14	<b>Audit Committee</b> (advisory committee of Council under section 139 of the Act whose role is to oversee the integrity of a Council's financial reporting, processes to manage risks to the Council's operations and for compliance with applicable legal, ethical, and regulatory requirements)	Committee established in accordance with section 139 of the Act Date Committee was established in accordance with section 139 of the Act: 30/10/2013	YES
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 Internal auditor: 24/08/2017 Contract expires on 30/06/2020	YES

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No.	Governance and Management Items	2019/20 Assessment	Y/N
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 Act)	Current framework in operation Date of operation of current framework: 04/06/2014	YES
17	<b>Council Plan reporting</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)	Dates of performance reporting review: 2018/19 Quarter 4 Council Plan Progress Report 19/09/2019 2019/20 Quarter 1 Council Plan Progress Report 28/11/2019 2019/20 Quarter 2 Council Plan Progress Report 27/02/2020	YES
18	<b>Financial reporting</b> (quarterly statements to Council under section 138 of the Act comparing budgeted revenue and expenditure with actual revenue and expenditure)	Quarterly statements presented to Council in accordance with section 138(1) of the Act Dates of quarterly statements presented to Council in accordance with section 138(1) of the Act: 2018/19 Quarter 4 Finance Report 19/09/2019 2019/20 Quarter 1 Finance Report 28/11/2019 2019/20 Quarter 2 Finance Report 27/02/2020	YES
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)	As per the risk policy revised in December 2018, six monthly reviews of risks need to be provided to the Audit Committee. Risk register presented to the Audit committee, 9 September 2019 and the next update in June 2020	YES
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 Act)	Dates of presentation of reports: 2018/19 Performance Report 19/09/2019 2019/20 YTD (6 months) Performance information included in 2019/20 Quarter 2 Finance Report 27/02/2020	YES

## Borough of Queenscliffe

### Governance and management checklist

No.	Governance and Management Items	2019/20 Assessment	Y/N
21	<b>Annual report</b> (annual report under sections 131, 132 and 133 of the Act to the community containing a report of operations and audited financial performance statements)	Annual report considered at a meeting of Council in accordance with section 134 of the Act. Date considered; 24/10/2019 Ordinary Council Meeting.	YES
22	<b>Councillor Code of Conduct</b> (Code under section 76C of the Act setting out the conduct principles and the dispute resolution processes to be followed by Councillors)	Code of conduct reviewed in accordance with section 76C of the Act Date of review of code in accordance with section 76C of the Act: 16/02/2017 Next planned review by February 2021 (within 4 months after the council election)	YES
23	<b>Delegations</b> (a document setting out the powers, duties and functions of Council and the Chief Executive Officer that have been delegated to members of staff)	Delegations reviewed in accordance with section 98(6) of the Act Section 98(6) of the Act requires that delegations be reviewed within 12 months of a general election. Local government election held 22 October 2016. Date of review of delegations in accordance with section 98(6) of the Act: 21/09/2017 ( reviewed again on 07/05/19)	YES
24	<b>Meeting procedures</b> (a local law governing the conduct of meetings of Council and special committees)	Meeting procedures local law made in accordance with section 91(1) of the Act Date local law was made in accordance with section 91(1) of the Act: 14/12/2010	YES

Expected achievement as at the end of the financial year	24
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