

GOVERNANCE AND MANAGEMENT CHECKLIST 2020-2021

The following are the results in the prescribed form of Council's assessment against the prescribed Governance and Management Checklist.

Governance and Management Item	Assessment	Yes/No
1. Community engagement policy (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 Date of adoption: 16 February 2021	Yes
2. Community engagement guidelines (guidelines to assist staff to determine when and how to engage with the community)	The guidelines are still in draft form and will be completed by 31 October 2021. They are being developed as part of our Community Vision engagement process.	No
3. Financial Plan (plan under section 91 of the Act outlining the financial and non-financial resources required for at least the next 10 financial years)	Will be adopted by 31 October 2021, in line with the Local Government Act timeline.	No
4. Asset Plan (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)	Will be implemented in line with the Local Government Act 2020 timeline, by June 2022	No
5. Revenue and Rating Plan (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 Date of adoption: 22 June 2021	Yes
6. Annual budget (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 Date of adoption: 22 June 2021	Yes
7. Risk policy (policy outlining council's commitment and approach to minimising the risks to council's operations)	Policy Date of commencement of current policy: 25 June 2019	Yes
8. Fraud policy Fraud policy (policy outlining council's commitment and approach to minimising the risk of fraud)	Policy Date of commencement of current policy: 17 December 2019	Yes

<p>9. Municipal emergency management plan (plan under section 20 of the Emergency Management Act 1986 for emergency mitigation, response and recovery)</p>	<p>Prepared and maintained in accordance with section 20 of the Emergency Management Act 1986</p> <p>Date of preparation: 26 June 2018</p> <p>The 2021-2024 MEMP is currently in draft form.</p>	<p>Yes</p>
<p>10. Procurement policy (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)</p>	<p>Adopted in accordance with section 108 of the Act</p> <p>Date of adoption: 22 June 2021</p>	<p>Yes</p>
<p>11. Business continuity plan (plan setting out the actions that will be undertaken to ensure that key services continue to operate in the event of a disaster)</p>	<p>Plan</p> <p>Date of adoption: 19 July 2005</p> <p>Numerous internal reviews have taken place over the years since. We are in the process of reviewing our BCP to ensure it reflects our service obligations. It is currently being tested during COVID-19 pandemic and this has informed the current review.</p>	<p>Yes</p>
<p>12. Disaster recovery plan (plan setting out the actions that will be undertaken to recover and restore business capability in the event of a disaster)</p>	<p>Disaster recovery plan</p> <p>Date of commencement: 26 July 2018</p>	<p>Yes</p>
<p>13. Risk management framework (framework outlining council's approach to managing risks to the council's operations)</p>	<p>Framework</p> <p>Date of commencement of current framework: 25 June 2019</p>	<p>Yes</p>
<p>14. Audit and Risk Committee (see sections 53 and 54 of the Act)</p>	<p>Committee Established in accordance with section 139 of the Act.</p> <p>Date of establishment: 15 April 2003</p> <p>2020-21 Meetings:</p> <ul style="list-style-type: none"> * 31 August 2020 * 7 December 2020 * 15 February 2021 * 17 May 2021 	<p>Yes</p>
<p>15. Internal audit (independent accounting professionals engaged by the council to provide analyses and recommendations aimed at improving council's governance, risk and management controls)</p>	<p>There were three internal audits:</p> <ol style="list-style-type: none"> 1. IT controls and Governance in November 2020 2. Governance in February 2021 3. Long Term financial Plan in June 2021 <p>The Audits were provided by AFS & Associates</p>	<p>Yes</p>
<p>16. Performance reporting framework (a set of indicators measuring financial and non-financial performance, including the performance indicators referred to in section 131 of the Local Government Act 1989)</p>	<p>Performance Reporting Policy adopted by Council on 20 May 2020.</p>	<p>Yes</p>

<p>17. Council Plan report (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)</p>	<p>Council Plan reporting to Council across four meetings: * 21 July 2020 * 15 September 2020 * 16 February 2021 * 20 April 2021</p>	<p>Yes</p>
<p>18. Quarterly budget reports (quarterly reports to the Council under section 97 of the Act, comparing actual and budgeted results and an explanation of any material variations)</p>	<p>Reports presented to the Council in accordance with section 97 of the Act Date reports presented: * 21 July 2020 * 15 September 2020 * 16 February 2021 * 20 April 2021</p>	<p>Yes</p>
<p>19. Risk reporting (6-monthly reports of strategic risks to Council's operations, their likelihood and consequences of occurring and risk minimisation strategies)</p>	<p>Reports Presented to Audit and Risk Committee at four meetings: * 31 August 2020 * 7 December 2020 * 15 February 2021 * 17 May 2021</p>	<p>Yes</p>
<p>20. Performance reporting (6-monthly reports of indicators measuring financial and non-financial performance, including the performance indicators referred to in section 98 of Act)</p>	<p>Reports Reported to Council across four meetings: * 15 September 2020 * 15 December 2020 * 16 February 2021 * 20 April 2021</p>	<p>Yes</p>
<p>21. Annual report (annual report under sections 98 and 99 of the Act containing a report of operations and audited financial and performance statements)</p>	<p>Presented at a meeting of the Council in accordance with section 100 of the Act Date statements presented: 20 October 2020</p>	<p>Yes</p>
<p>22. Councillor Code of Conduct (Code under section 139 of the Act setting out the standards of conduct to be followed by Councillors and other matters)</p>	<p>Reviewed and adopted in accordance with section 139 of the Act Date reviewed: 16 February 2021</p>	<p>Yes</p>
<p>23. Delegations (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>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 S5 22/06/2021; S6 16/03/2021; S7 11/02/2021; S11 29/01/2021; S11A 16/03/2021; S13 11/02/2021; S14 11/02/2021; S15 11/02/2021; S16 11/02/2021</p>	<p>Yes</p>
<p>24. Meeting procedures (Governance Rules under section 60 of the Act governing the conduct of meetings of Council and delegated committees)</p>	<p>Governance Rules adopted in accordance with section 60 of the Act Date Governance Rules adopted: 01 September 2020</p>	<p>Yes</p>

Chief Executive Officer

Dated:

Mayor

Dated: