

F: Governance Areas – Accountability

Council members are accountable to their constituents for the governance of the council area. The Chief Executive Officer is accountable to the council members for managing the council's resources efficiently and effectively. External accountability mechanisms should be in place e.g. auditing, public reporting etc. These mechanisms, and others relevant to local circumstances, provide the community and other stakeholders with assurances that their council is exercising proper governance over its affairs.

		Importance				Governance Issues	Satisfaction			
		4 Important	3 Not Important	2 Not Relevant	1 Unknown		4 Satisfied	3 Not Satisfied	2 Not relevant	1 Unknown
						Codes of Conduct F1. Council has adopted a Code of Conduct for its Council Members and staff that is workable and accepted by all parties, as required by the Local Government Act.				
						F2. Council has adopted a Code of Conduct for: (a) non-elected persons on Committees, (b) members of subsidiaries, and (c) representatives of Council on external boards and groups.				
						F3. Council has established a process to support enforcement of its Council Member's Code, including an independent process for investigating claims of inappropriate conduct.				

Importance		Governance Issues		Satisfaction			
				4 Satisfied	3 Not Satisfied	2 Not relevant	1 Unknown
4 Important			F4. Council Members are provided with training and on-going briefing sessions in respect to their Code of Conduct.				
			F5. Staff are provided with training and on-going briefing sessions in respect to their Code of Conduct.				
			F6. The community is aware of Council's Code of Conduct for Council Members and staff and can access copies of them via the Council office or on the website as required by the Local Government Act.				
			F7. Council's Chief Executive Officer has appropriate processes in place to support the enactment of the Code of Conduct for staff.				
			F8. Contractors and consultants engaged by Council are aware of, and act within, the Code of Conduct for staff of Council.				
			F9. Staff and Council Member Codes of Conduct are 'signed off' by affected persons and subject to regular review.				
			Register of Interests F10. Council Members are aware of and comply with Local Government Act provisions relevant to the completion of Primary and Ordinary Returns held in the Register of Interests.				

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4 Important	3 Not Important	2 Not Relevant	1 Unknown		4 Satisfied	3 Not Satisfied	2 Not relevant	1 Unknown
				F17. Non-elected persons who are members of Council Committees, Subsidiaries and the DAP are aware of their statutory obligations in relation to Conflict of Interest.				
				F18. Council staff are aware of, and comply with, Local Government Act provisions relevant to Conflict of Interest.				
				Audit				
				F19. Council has effective internal audit policies and procedures.				
				F20. Council adequately resources the internal audit function.				
				F21. Regardless of whether Council has chosen to appoint an internal Auditor or not it has adopted appropriate procedures and practices to ensure:				
				(a) that fraud, probity and propriety issues are appropriately addressed;				
				(b) its internal audit procedures and processes are carried out independently;				
				(c) application to all Council's business units;				
				(d) there are internal quality assurance strategies in place;				

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	2 Not Relevant								
	1 Unknown								
		(e) there is a plan to review activities which require the approval of Council and/or an Audit Committee (under delegation);							
		(f) consultation occurs with Council's Auditor when developing internal audit plans;							
		(g) the internal audit is undertaken annually and in a timely manner.							
		F22. If Council receives a "qualified external audit" it takes appropriate action to address issues raised.							
		Statutory Compliance F23. Council has appointed resources and established processes to monitor legislative compliance.							
		F24. Council receives quarterly reports regarding legislative compliance matters.							
		F25. Council responds appropriately to quarterly reports regarding legislative compliance.							

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4 Important			(e) the requirement for a risk management plan to be developed including provision for business continuity plans/counter disaster recovery plans and regular reviews.				
			F28. Council's risk management policy has been communicated to all Council Members, staff and contractors.				
			F29. Council has appointed a person/s who has specific responsibility to oversee the proper implementation of its risk management policies, procedures and plans.				
			F30. Council's risk management practices typically involve: (a) increasing awareness of the benefits of risk management; (b) promoting the acceptance of risk management techniques; (c) providing advice and support;				
			(d) providing training to Council Members and staff.				
			F31. Council conducts risk management audits on a regular basis.				

Importance		Satisfaction			
		4 Satisfied	3 Not Satisfied	2 Not relevant	1 Unknown
Governance Issues					
	F37. The work and operations of Council's Committees and Subsidiaries are reviewed as required by their charter/s or terms of reference and the Local Government Act.				
	F38. The operating procedures for Council's DAP (set by it or determined by the DAP) accurately reflect its roles, responsibilities, meeting arrangements, membership, conflict resolution and other relevant matters.				
	Annual Reporting				
	F39. Annual reporting to the community as required by Schedule 4 of the Local Government Act is comprehensive and enables the community to assess the achievements of Council against its strategic management plans.				
	F40. Council's annual report is available to the community:				
	(a) via the Council office;				
	(b) on its website; and				
	(c) a summary is sent to all residents and ratepayers				

Importance		Governance Issues				Satisfaction			
						4 Satisfied	3 Not Satisfied	2 Not relevant	1 Unknown
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Importance		Satisfaction			
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4 Important					
3 Not Important					
2 Not Relevant					
1 Unknown					
Governance Issues					
F51. The CEO has in place performance appraisal systems for staff that are applied at least on an annual basis.					
Overall Rating:					
Council has the information, plans, codes, policies and procedures etc in place to comply with Local Government Act requirements (where relevant) and to maintain and manage risks. It reports on its activities both internally and externally at appropriate (regular) intervals.					