

**LOCAL GOVERNMENT INSPECTORATE: GOLDEN PLAINS SHIRE COUNCIL EXAMINATION – FEBRUARY 2019**

*Outstanding Actions Progress Report – Update as at 1 August 2019*

NO.	AREA	ACTIONS RECOMMENDED	AGREED ACTIONS	CURRENT ACTIONS / STATUS	EVIDENCE
1.	<b>GOVERNANCE SCHEDULE</b>	<b>Recommendation 1:</b> The council develop a governance schedule to ensure key statutory requirements are met.	Accept the recommendation provided.  Governance and compliance schedule to be developed taking into consideration the example provided by the Local Government Inspectorate. The schedule to be endorsed at a future Full Management Team meeting. Ongoing management of the schedule to become a responsibility of the Corporate Governance Coordinator position. A copy of the schedule to be made readily available to relevant responsible officers.	<b>Action Status / Target Date:</b> ITEM COMPLETED  <b>Responsible Officer:</b> Corporate Governance Coordinator  <b>Action to Date:</b> Agreed actions completed. Statutory Obligations & Compliance Calendar developed and implemented. Calendar provided to all Directors and Managers in June 2019. Status reporting to FMT will occur twice yearly - June and December (at a minimum). Non-compliance will be included in a non-compliance register and reported to the Audit & Risk Committee.	<b>Evidence Provided:</b> 1. Statutory Obligations & Compliance Calendar 2018-19 & 2019-20
2.	<b>POLICY FRAMEWORK</b>	No actions recommended.	Comments noted.	<b>Action Status / Target Date:</b> ITEM COMPLETED  <b>Responsible Officer:</b> Corporate Governance Coordinator  <b>Action to Date:</b> Item completed. No actions recommended.	<b>Evidence Provided:</b> Not applicable.

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3.	<b>SALE OF LAND</b>	<b>Recommendation 1:</b> Council must ensure that sale of land transactions are at all times transparent to the community, in accordance with the Local Government Best Practice Guideline for the Sale, Exchange and Transfer of Land.	Accept the recommendation provided.  Council is more likely to consider the sale of land in the future and therefore, a best practice Council Policy will be developed and implemented.  As an interim measure, internal instructions to be developed that reference to the Local Government Best Practice Guideline for the Sale, Exchange and Transfer of Land. A copy of the instructions and guide to be made readily available to relevant responsible officers.	<b>Action Status / Target Date:</b> PARTLY COMPLETED / 31 December 2019  <b>Responsible Officer:</b> Corporate Governance Coordinator  <b>Action to Date:</b> Partly completed. Internal instructions developed and included in the governance manual, along with a copy of the Local Government Best Practice Guideline for the Sale, Exchange and Transfer of Land. Development of Council Policy on track for completion by action target date.	<b>Evidence Provided:</b> 1. Sale of Land Internal Instructions
4.	<b>CEO / SENIOR OFFICER CONTRACT &amp; PERFORMANCE REVIEWS</b>	<b>Recommendation 1:</b> Council to ensure that the CEO performance review is conducted at the earliest convenience.	Accept the recommendation provided.  The CEO performance review was presented and approved at the February 2019 Council meeting for approval.	<b>Action Status / Target Date:</b> ITEM COMPLETED  <b>Responsible Officer:</b> Director Corporate Services  <b>Action to Date:</b> Agreed action previously completed. No further action required.	<b>Evidence Provided:</b> Not applicable.

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5.	<b>CORPORATE CREDIT CARDS</b>	<p><b>Recommendation 1:</b> Council should ensure that as per section 6.8 of the Standard Operating Procedure, audits of procurement card usage are conducted randomly by the Finance Department, internal and/or external audit to further mitigate fraudulent activity and ensure that all procedural requirements are being met.</p>	<p>Accept the recommendation provided.</p> <p>There are current processes and practices in place to ensure monthly credit cards are reviewed and approved by the relevant supervisor. This to be further strengthened by random audits which will be included as part of the Finance Department responsibility. This will include the development of a schedule of financial activities to ensure that audits are undertaken across all areas of council.</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Finance Manager</p> <p><b>Action to Date:</b> Agreed actions completed. Compliance Check Register developed to indicate the checks that will be completed going forward. Every month all transactions will be reviewed for compliance and checks completed on an ongoing basis. The Finance Officer maintains a register to record any missing or non-compliant documents. All credit card transactions are reviewed for compliance and any instances of non-compliance are recorded in the register. If there is a regular occurrence the staff member is contacted to rectify the future use of the card. Any cases of non-compliance are escalated to the Finance Team Leader, Finance Manager, and Manager of staff member involved. If the incident is a serious breach the</p>	<p><b>Evidence Provided:</b></p> <ol style="list-style-type: none"> <li>1. Compliance Check Register</li> <li>2. Register Recording Missing and Non-compliant Documents</li> <li>3. Procurement Card Lost Invoice Declaration</li> </ol>

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				<p>Director is also advised, and card may be withdrawn with internal disciplinary action taken. The Finance Officer checks all procurement card transactions and is therefore monitoring on an ongoing basis. A review of the number of procurement cards held and financial limits will be conducted over the next six months as part of our review of the procurement processes at GPS.</p>	
6.	INTEREST RETURNS	<p><b>Recommendation 1:</b> Council send out notification memo on the day the return period commences.</p>	<p>Accept the recommendation provided.</p> <p>Notification memos will be distributed on the day the return period commences and the governance schedule updated accordingly.</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Corporate Governance Coordinator</p> <p><b>Action to Date:</b> Agreed action completed. Process for Administering Registers of Interest Updated - June 2019. Updated process states that returns must be sent on the day the return period commences and not before, unless the day falls on a non-work day in which case</p>	<p><b>Evidence Provided:</b></p> <ol style="list-style-type: none"> <li>1. Process for Administering Registers of Interest – Updated June 2019</li> </ol>

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				issue on the Friday prior. New process implemented for the 30 June 2019 return period.	
		<p><b>Recommendation 2:</b> Communication with relevant staff and councillors reinforces that returns are due within 40 days after 30 June and 31 December.</p>	<p>Accept the recommendation provided.</p> <p>Notification memo to be updated to include relevant timeframes for submission.</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Corporate Governance Coordinator</p> <p><b>Action to Date:</b> Agreed action completed. New memo / letter templates developed. New templates state that return must not be dated earlier than 30 June or 31 December and also, when returns are due by. Use of new templates implemented for the 30 June 2019 return period.</p>	<p><b>Evidence Provided:</b></p> <ol style="list-style-type: none"> <li>1. Template Request for Ordinary Return</li> <li>2. Template Request for Primary Return</li> </ol>
		<p><b>Recommendation 3:</b> That the responsible officer ensure that all submitted returns are reviewed for completeness but excluding content.</p>	<p>Accept the recommendation provided.</p> <p>The newly appointed Corporate Governance Coordinator to take over responsibility for Register of Interest Returns to ensure centralised oversight. Corporate Governance Coordinator to facilitate</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Corporate Governance Coordinator</p> <p><b>Action to Date:</b> Agreed action completed. Process for Administering Registers of Interest Updated -</p>	<p><b>Evidence Provided:</b></p> <ol style="list-style-type: none"> <li>1. Process for Administering Registers of Interest – Updated June 2019</li> </ol>

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			training with support staff who assist with the administration.	June 2019. Updated process includes step to check for completeness when forms are submitted. Corporate Governance Coordinator provided explanation of new process to support staff who assist with the administration. New process implemented for the 30 June 2019 return period.	
		<p><b>Recommendation 4:</b> For any non-compliant or non-submitted returns, relevant detail must be recorded in the register.</p>	<p>Accept the recommendation provided.</p> <p>Register to be update to include a new field for recording non-compliant or non-submitted returns.</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Corporate Governance Coordinator</p> <p><b>Action to Date:</b> Agreed action completed. Process for Administering Registers of Interest Updated - June 2019 to check for and record any deficiencies / non-compliance in the register. Corporate Governance Coordinator provided explanation of new process to support staff who assist with the administration. New process implemented for the 30 June 2019 return period</p>	<p><b>Evidence Provided:</b></p> <ol style="list-style-type: none"> <li>1. Process for Administering Registers of Interest – Updated June 2019</li> </ol>

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7.	<b>AUDIT COMMITTEE</b>	<b>Recommendation 1:</b> Review date included on the charter or in the governance schedule to ensure the document is routinely reviewed in line with other policies and procedures.	Accept the recommendations provided.  The Audit and Risk Committee charter will be presented at the May 2019 Audit and Risk Committee meeting and in the future will be reviewed annually as part of the annual audit and risk plan.	<b>Action Status / Target Date:</b> ITEM COMPLETED  <b>Responsible Officer:</b> Director Corporate Services  <b>Action to Date:</b> Agreed action completed. Audit and Risk Committee Charter reviewed – May 2019. The reviewed Charter was presented to the Audit & Risk Committee Meeting 14 May 2019 for endorsement prior to adoption by Council at the Ordinary Council Meeting 28 May 2019. Review of Charter added to Statutory Obligations & Compliance Calendar.	<b>Evidence Provided:</b> 1. Audit & Risk Committee Charter 2. Council Meeting Minutes - 28 May 2019 3. Statutory Obligations & Compliance Calendar 2018-19 & 2019-20
8.	<b>SPECIAL COMMITTEES</b>	No actions recommended.	Comments noted.	<b>Action Status / Target Date:</b> ITEM COMPLETED  <b>Responsible Officer:</b> Corporate Governance Coordinator  <b>Action to Date:</b> Item previously completed. No actions recommended.	<b>Evidence Provided:</b> Not applicable.

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9.	<b>COUNCILLOR EXPENSES AND REIMBURSEMENT</b>	<p><b>Recommendation 1:</b> Approval process to be formalised in the Councillor Reimbursement Policy and adhered to.</p>	<p>Accept the recommendation provided.</p> <p>Corporate Governance Coordinator to review the Councillor Reimbursement Policy and related forms. Training to be facilitated for relevant staff in the Mayor and Councillors office.</p>	<p><b>Action Status / Target Date:</b> PARTLY COMPLETED / Amend action target date from 30 June 2019 to 31 December 2019</p> <p><b>Responsible Officer:</b> Corporate Governance Coordinator</p> <p><b>Action to Date:</b> Partly completed. Councillor expenses Reimbursement Claim Form updated - June 2019 to clearly identify which positions are responsible for sign-off on the form. Updated form now in use.</p> <p>Council Policy 4.14 Councillor Reimbursement due for review. At its Ordinary Meeting 25 June 2019 Council resolved to extend the review date to 31 December 2019 to allow time for a detailed and informed review. On track for completion by action target date.</p>	<p><b>Evidence Provided:</b></p> <ol style="list-style-type: none"> <li>Updated Councillor expenses Reimbursement Claim Form</li> <li>Council Meeting Minutes - 25 June 2019 (resolution to Extend Review Due Date of Policy)</li> </ol>



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10.	<b>GOVERNMENT GRANTS</b>	<b>Recommendation 1:</b> Where any changes to the process are agreed upon, the process documented be updated accordingly.	Accept the recommendation provided.  Standard Operating Procedure –for 'Making Applications / Submissions for Funding (SOP-7049) to be amended to include briefing of Council before specified grants are applied for. Recreation Team Leader has been tasked with updating SOP-7049 and taking to a future Full Management Team meeting for adoption.	<b>Action Status / Target Date:</b> ITEM COMPLETED  <b>Responsible Officer:</b> Director Community Services  <b>Action to Date:</b> Agreed actions completed. SOP reviewed and updated and presented to FMT at it 19 June 2019 meeting.	<b>Evidence Provided:</b> 1. Revised SOP 7049 – Making Applications- Submissions for Funding – June 2019 2. FMT Meeting Minutes –19 June 2019 (decision for SOP)
11.	<b>COMMUNITY GRANTS</b>	<b>Recommendation 1:</b> Ensure that all relevant information is available on the council website.	Accept the recommendation provide.  All relevant information is now available on website.	<b>Action Status / Target Date:</b> ITEM COMPLETED  <b>Responsible Officer:</b> Director Community Services  <b>Action to Date:</b> Agreed action completed. Documents available on the website: <ul style="list-style-type: none"> <li>Community Grant Guidelines <a href="https://www.goldenplains.vic.gov.au/residents/my-">https://www.goldenplains.vic.gov.au/residents/my-</a></li> </ul>	<b>Evidence Provided:</b> 1. Community Grants Evidence Report

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				<p>community/grants/community-grants-program-201920</p> <ul style="list-style-type: none"> <li>• 2019 Community Grant Workshop Slide Show <a href="https://www.goldenplains.vic.gov.au/residents/my-community/grants/community-grants-program-201920">https://www.goldenplains.vic.gov.au/residents/my-community/grants/community-grants-program-201920</a></li> <li>• 5.1 Community Grant Policy <a href="https://www.goldenplains.vic.gov.au/residents/my-council/about-council/council-policies">https://www.goldenplains.vic.gov.au/residents/my-council/about-council/council-policies</a></li> </ul> <p>These documents compliment information regarding key times of major steps in the process and a short brief of information explaining key priorities Council will support. This information and documents can be added to or changed at any time using the Symphony platform.</p>	

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		<p><b>Recommendation 2:</b> A provision be included on the assessment form that allows for the assessors name and sign-off to be recorded.</p>	<p>Accept the recommendation provide.</p> <p>The current process requires all awarding of grants to be by resolution of Council. This will be further strengthened by the new SmartyGrants software which has been configured to require assessors to identify themselves.</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Director Community Services</p> <p><b>Action to Date:</b> Agreed actions completed. A provision be included on the assessment form that allows for the assessors name and sign-off to be recorded.</p>	<p><b>Evidence Provided:</b></p> <ol style="list-style-type: none"> <li>Community Grants Evidence Report</li> <li>Community Grant 2019/2020 Assessment Form</li> </ol>
12.	DELEGATIONS	<p><b>Recommendation 1:</b> Council must ensure that wherever a review of a delegation take place, it is authorised via a resolution of council, and the instrument of delegation is executed accordingly. This can be included in the governance schedule.</p>	<p>Management confirm that all reviews of delegations have been correctly administered. Accept the recommendation provided to include the review of delegations in the governance schedule.</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Corporate Governance Coordinator</p> <p><b>Action to Date:</b> Agreed action previously completed.</p>	<p><b>Evidence Provided:</b> Not applicable.</p>
		<p><b>Recommendation 2:</b> Council assess where there are legal and financial risk for the period in where the Instrument of Delegation were not executed.</p>	<p>No action required. The incorrect (incomplete) version of the instrument of delegation in question was provided to the Local Government Inspectorate. The delegation was in fact correctly executed and a</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Corporate Governance Coordinator</p> <p><b>Action to Date:</b> Item previously completed.</p>	<p><b>Evidence Provided:</b> Not applicable.</p>

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			copy provided to the inspectorate on the 19 March 2019. There is no legal or financial risk to Council.	No further action required.	
13.	<b>AUTHORISED OFFICERS</b>	No actions recommended.	Comments noted.	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Corporate Governance Coordinator</p> <p><b>Action to Date:</b> Item previously completed. No actions recommended.</p>	<b>Evidence Provided:</b> Not applicable.
14.	<b>SYSTEMS/RECORD KEEPING</b>	<b>Recommendation 1:</b> Council should develop an appropriate record keeping strategy to address the identified issues over an appropriate time period.	<p>Accept the recommendation provided.</p> <p>The following Internal Procedures (IP) an Standard Operating Procedures (SOP) to be updated:</p> <ul style="list-style-type: none"> <li>• IP-334 - Records Management Policy</li> <li>• SOP-3048 – Mail Procedures</li> <li>• SOP-3059 – Records Creation and Capture</li> </ul>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> ICT &amp; Digital Transformation Manager</p> <p><b>Action to Date:</b> Agreed actions completed. The following policy and Standard Operation Procedures (SOP) procedures reviewed and adopted by the Full Management Team at its meeting held 5 June 2019:</p> <ul style="list-style-type: none"> <li>- Policy 344 Records Management</li> </ul>	<b>Evidence Provided:</b> 1. Records Management – Adopted Policy and SOPs - June 2019

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			<ul style="list-style-type: none"> <li>• SOP-3060 – Records Storage, Security and Access</li> <li>• SOP-3061 – Records Transfer and Disposal</li> <li>• SOP-3083 – Archiving</li> </ul> <p>Once IP's and SOP's have been adopted by management, a process for changing processes will commence. This will include the development of a Digitisation Policy (and associated SOP's).</p> <p>Digitisation Strategy currently being developed. The Paperlite Project which manages the change has been developed and will be presented at the Full Management Team meeting in April 2019 for adoption before then being rolled out across the organisation.</p>	<ul style="list-style-type: none"> <li>- SOP 3048 Mail Procedures</li> <li>- SOP 3059 Records Creation and Capture</li> <li>- SOP 3060 Records Control, Storage, Access and Use</li> <li>- SOP 3061 Records Transfer and Disposal</li> <li>- SOP 3083 Archiving</li> </ul>	

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15.	PROCUREMENT	<p><b>Recommendation 1:</b> Council, as a matter of priority, develop a strategy to address the issues identified in the management of procurement.</p>	<p>Accept the recommendation provided.</p> <p>In order to implement the recommendations and have continuous improvement in place in the best interests of the community and other stakeholders, Council is in the process of developing an Improvement Plan. The Improvement Plan will aim to:</p> <ol style="list-style-type: none"> <li>1. address the seven (7) issues which are highlighted in the Report and action them; and</li> <li>2. develop a Procurement and Contract Management System which will support the underlying principles of:               <ol style="list-style-type: none"> <li>a. Best value for money</li> <li>b. Open and fair competition</li> <li>c. Accountability and management</li> <li>d. Risk management</li> <li>e. Probity and transparency.</li> </ol> </li> </ol>	<p><b>Action Status / Target Date:</b> PARTLY COMPLETED / Amend action target date from 30 June 2019 to 21 December 2019</p> <p><b>Responsible Officer:</b> Manager Finance</p> <p><b>Action to Date:</b> Agreed actions partly completed. Refer attached Procurement Covering Report for detail.</p>	<p><b>Evidence Provided:</b></p> <ol style="list-style-type: none"> <li>1. Procurement Covering Report</li> <li>2. Attachments to Procurement Covering Report:           <ul style="list-style-type: none"> <li>- Procurement Policy</li> <li>- Exemption Procedure Under Procurement Policy</li> <li>- Procurement and Contract Management System</li> <li>- Procurement Checklist for Record Management</li> <li>- Procurement File Closure Checklist</li> <li>- Staff Survey – Development of PCM Framework</li> <li>- Terms of Reference Project Steering Group</li> <li>- Agenda for PSG Meeting – Template</li> <li>- Minutes of PSG Meeting - Template</li> <li>- Request for Exemption Form</li> <li>- Contract Register</li> </ul> </li> </ol>

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			<p>The Procurement and Contract Management System will:</p> <ol style="list-style-type: none"> <li>1. have up to date policies, procedures, tender and contract templates, a contract register, a compliance register, facts sheets and/or checklists;</li> <li>2. ensure compliance with legislation, policy requirements and best practice principles;</li> <li>3. be clear, simple and easy to use;</li> <li>4. be understood and applied by Council employees;</li> <li>5. support potential contractors engaged as a result of the procurement process;</li> <li>6. provide education and training across Council; and</li> <li>7. be monitored for record keeping, reporting, compliance and continuous improvement.</li> </ol>		<ul style="list-style-type: none"> <li>- Educational Guidance (Superintendent)</li> <li>- Formal Instruments of Agreement</li> <li>- Governance Framework for GPCC and Heart Projects</li> <li>- Instruments of Appointment</li> <li>- Letters of Engagement</li> <li>- Reporting Framework for the GPCC and Heart Projects</li> </ul>

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		<p><b>Recommendation 2:</b> Review systems and process relating to procurement to ensure they meet the requirements of the procurement policy, the Act and the process is fair and transparent.</p>	<p>Accept the recommendation provided. The review into Councils current practices and procedures has been undertaken with the aim of identifying the areas for improvement. Council has put an action plan in place to ensure that procurement documents including conflict of interest and confidentiality forms are complete, the evaluation process and documents are compliant, the sign off process and decision making are accountable, fair and transparent, panel members are aware of, and comply with, their roles and responsibilities.</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Manager Finance</p> <p><b>Action to Date:</b> Agreed actions completed. Refer attached Procurement Covering Report for detail. On-going for continuous improvement.</p>	<p><b>Evidence Provided:</b> As per above.</p>
		<p><b>Recommendation 3:</b> Relevant training should be provided for procurement staff to ensure they are fully aware of their roles and responsibilities.</p>	<p>Accept the recommendation provided. Training of all staff will be provided to ensure clear understanding of staff responsibilities. Training for procurement staff on their responsibilities will also be provided. The education and training plan will be put in place to:</p>	<p><b>Action Status / Target Date:</b> ITEM COMPLETED</p> <p><b>Responsible Officer:</b> Manager Finance</p> <p><b>Action to Date:</b> Agreed actions completed. Refer attached Procurement Covering Report for detail. On-</p>	<p><b>Evidence Provided:</b> As per above.</p>



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			<ul style="list-style-type: none"> <li>a. identify the areas for improvement in order to provide training for the procurement staff about their roles and responsibilities;</li> <li>b. provide training for the Management team about their roles and responsibilities in leading and supporting Council's Procurement and Contract Management System; and</li> </ul> Provide training for all Council employees as part of their induction process with additional training provided to employees who require or use procurement services.	going for continuous improvement.	