



CHECKLIST

Local government compliance checklist

This document lists policies, processes and records that local governments must have in place to comply with the requirements of the *Local Government Act 2009* (LGA) and Local Government Regulation 2012 (LGR). For more information, visit www.dlgrma.qld.gov.au/lgresources or phone 07 3254 7148.

Item	Requirement	Mandatory elements	When	Status
Policies				
Acceptable Request Guidelines s170A(7) LGA	<ul style="list-style-type: none"> Adopt acceptable request guidelines (by resolution) 	<ul style="list-style-type: none"> How a councillor may ask for advice to help them carry out their responsibilities Reasonable limits on requests a councillor may make 	Ongoing	Officer Current: Yes / No
Process for mayor when directing a CEO s12(4)(c) LGA	<ul style="list-style-type: none"> Resolution or document adopted by resolution 	<ul style="list-style-type: none"> Process for directing CEO 	Ongoing	Officer Current: Yes / No
Community grants policy s195 LGR	<ul style="list-style-type: none"> Adopt a policy 	<ul style="list-style-type: none"> The criteria for a community organisation to be eligible for a grant 	Ongoing	Officer Completed: Yes / No
Entertainment and hospitality policy s196 LGR	<ul style="list-style-type: none"> Adopt a policy about council spending on entertainment and hospitality 	NA	Ongoing	Officer Completed: Yes / No
Advertising spending policy s197 LGR	<ul style="list-style-type: none"> Adopt a policy about council spending on advertising 	NA	Ongoing	Officer Completed: Yes / No

Item	Requirement	Mandatory elements	When	Status
Policies				
Expenses reimbursement policy ss249-251 LGR	<ul style="list-style-type: none"> Adopt an expenses reimbursement policy Publish a public notice of the policy 	<ul style="list-style-type: none"> Reasonable expenses incurred by councillors that will be reimbursed Facilities that will be provided for councillors to fulfil their duties 	Ongoing	Officer Completed: Yes / No
Investment policy s191 LGR	<ul style="list-style-type: none"> Adopt an investment policy 	<ul style="list-style-type: none"> Council's investment objectives and overall risk philosophy Procedures for achieving those objectives 	Ongoing	Officer Completed: Yes / No
Debt policy s192 LGR	<ul style="list-style-type: none"> Adopt a debt policy Review annually for each financial year 	<ul style="list-style-type: none"> New borrowings planned for the current financial year and next nine years Period over which the council plans to repay existing and new borrowings 	Annually	Officer Completed: Yes / No
Revenue policy s193 LGR	<ul style="list-style-type: none"> Adopt a revenue policy Review annually in sufficient time before annual budget 	<ul style="list-style-type: none"> Principles for levying rates and charges, granting concessions for rates and charges, recovering overdue rates and charges and cost recovery methods Purpose of concessions granted Extent to which physical and social infrastructure costs for a new development are to be funded by charges for the development 	Annually	Officer Completed: Yes / No
Procurement policy s198 LGR	<ul style="list-style-type: none"> Adopt a procurement policy Review annually for each financial year 	<ul style="list-style-type: none"> The principles, including the sound contracting principles, that council will apply for purchasing goods and services 	Annually	Officer Completed: Yes / No
Contract manual s222 LGR	<ul style="list-style-type: none"> Where a council has adopted a strategic approach to contracts, develop and adopt a contract manual that sets out the procedures for how to carry out contracts 	<ul style="list-style-type: none"> Apply sound contracting principles Be consistent with and support the five-year corporate plan Be consistent with council's contract plan, if the council has adopted one A policy about how to deal with non-current assets with a value of less than \$5000 for plant and equipment or less than \$10,000 for other non-current assets 	Ongoing	Officer Completed: Yes / No
Meeting procedures ss150F-150G LGA	<ul style="list-style-type: none"> Adopt the Model Meeting Procedures <p>OR</p> <ul style="list-style-type: none"> Adopt other procedures consistent with the Model Meeting Procedures 	<ul style="list-style-type: none"> State how the chairperson may deal with a councillor's unsuitable meeting conduct State how suspected inappropriate conduct referred by the Independent Assessor will be dealt with at a meeting 	Ongoing	Officer Completed: Yes / No
Investigation policy s150AE LGA	<ul style="list-style-type: none"> Adopt an investigation policy 	<ul style="list-style-type: none"> Procedure for investigating suspected inappropriate conduct referred by the Independent Assessor State when another entity may investigate Be consistent with natural justice principles State that councillors and complainants must be given a notice about the outcome of investigations 	Ongoing	Officer Completed: Yes / No

Item	Requirement	Mandatory elements	When	Status
Processes				
Local law-making s29 LGA	<ul style="list-style-type: none"> Decide process for making a local law 	<ul style="list-style-type: none"> Ensure that process is consistent with LGA (Local laws Chapter 3, Part 1) 	Ongoing	Officer Completed: Yes / No
Competitive neutrality complaints process s48 LGA, s44 LGR	<ul style="list-style-type: none"> Adopt a process for resolving competitive neutrality complaints 	<ul style="list-style-type: none"> Ways to resolve a matter before it becomes a complaint How all complaints, decisions and recommendations will be recorded 	Ongoing	Officer Completed: Yes / No
Administrative action complaints process s268 LGA, s306 LGR	<ul style="list-style-type: none"> Adopt a process that effectively manages all administrative action complaints from their receipt to resolution Adopt written policies and procedures to support the process 	<ul style="list-style-type: none"> State that council must respond to complaints quickly and efficiently in a fair and objective way The criteria that will be considered when assessing whether to investigate a complaint State that council will inform an affected person of the decision and the reasons for the decision 	Ongoing	Officer Completed: Yes / No
Registers				
Local law register s31 LGA s14 LGR	<ul style="list-style-type: none"> Keep a register of local laws Make the register available for inspection at the local government's public office and displayed on its website 	<ul style="list-style-type: none"> Name of each local law Its purpose and general effect 	Ongoing	Officer Completed: Yes / No
Roads map and register s74 LGA s57 LGR	<ul style="list-style-type: none"> Prepare and keep updated a map of every road in the local government area and a register of the roads Make the map and the register available to the public 	<ul style="list-style-type: none"> The category of every road The level of every road that has a fixed level The length of every road If the road is formed, gravelled pavement or sealed pavement – the length and width of the formed, gravelled pavement or sealed pavement part 	Ongoing	Officer Completed: Yes / No
Register of cost recovery fees s98 LGA	<ul style="list-style-type: none"> Keep a register of all cost-recovery fees Make the register available to the public 	<ul style="list-style-type: none"> The type of cost-recovery fee The provision of the legislation authorising the action for which the cost-recovery fee has been levied 	Ongoing	Officer Completed: Yes / No
Asset register s104 LGA s180 LGR	<ul style="list-style-type: none"> Prepare and keep an up-to-date asset register 	<ul style="list-style-type: none"> All non-current physical assets 	Ongoing	Officer Completed: Yes / No
Councillor conduct register s150DX- s150DZ LGA	<p>Keep an up-to-date councillor conduct register about:</p> <ul style="list-style-type: none"> orders made about unsuitable meeting conduct decisions about suspected inappropriate conduct referred to council decisions of the Councillor Conduct Tribunal about whether or not councillors have engaged in misconduct or inappropriate conduct complaints dismissed by the Independent Assessor decisions of the Independent Assessor to take no further action 	<p>Complaints dismissed by the Independent Assessor must include:</p> <ul style="list-style-type: none"> date the complaint was made a summary of the complaint a statement about why it was dismissed <p>All other complaints must include:</p> <ul style="list-style-type: none"> a summary of the decision and reasons for the decision name of the councillor date of the decision 	Ongoing	Officer Completed: Yes / No

Item	Requirement	Mandatory elements	When	Status
Other records				
Record of unsuitable meeting conduct orders s150l LGA s272 LGR	<ul style="list-style-type: none"> Record details of an order for unsuitable meeting conduct in the meeting minutes. 	<ul style="list-style-type: none"> Must include details of the order 	Within 10 calendar days of the meeting	Officer: Current: Yes / No
Record of the taking of declaration of office s169(4)(5) LGA s254 LGR	<ul style="list-style-type: none"> The CEO must keep a record of the taking of declaration of office. 	<ul style="list-style-type: none"> Councillor's name Confirmation that councillor took declaration within 30 days after being appointed or elected 	Within 30 days of being appointed or elected	Officer: Current: Yes / No
Records about conflicts of interest at meetings s150FA LGA	<ul style="list-style-type: none"> Record in the minutes any conflict of interest matters raised by councillors, including conflicts they have themselves or suspected conflicts of other councillors 	<ul style="list-style-type: none"> Councillor name Particulars of the conflict of interest and how it relates to the councillor Whether the councillor leaves the meeting and when (before or after vote) If the councillor decides to stay, how each councillor voted and the reasons for the final decision of all councillors If the councillor participated in deciding the matter or was present under an approval from the Minister 	Ongoing	Officer: Current: Yes / No
Record of directions given to the CEO s170 LGA	<ul style="list-style-type: none"> CEO must keep a record of each direction given to them by the mayor, and it must be made available to the local government 	NA	Ongoing	Officer: Current: Yes / No
Land record s154 LGR	<ul style="list-style-type: none"> Keep a land record detailing specific information about each parcel of rateable land 	<ul style="list-style-type: none"> Name and postal address of the owner A description of the land, including its location and size Its value and the day of effect of the relevant valuation under the <i>Land Valuation Act 2010</i> Information about rates or charges levied as specified in s92 LGA 	Ongoing	Officer: Current: Yes / No
Record of financial management risks and control measures s164 LGR	<ul style="list-style-type: none"> Keep a record of risks to which local government operations are exposed, to the extent they relate to financial management Keep along with the record a copy of the community grants policy, entertainment and hospitality policy, advertising spending policy, and procurement policy 	<ul style="list-style-type: none"> Operational risks related to financial management Control measures adopted to manage the risks 	Ongoing	Officer: Current: Yes / No
Record of administrative action complaints s306 LGR	<ul style="list-style-type: none"> Keep a record of all administrative action complaints Ensure internal reports are occasionally provided to senior management about the operation of the complaints' management process Ensure the public can inspect the complaints management process (including related policies and procedures) on its website and at your public office Ensure mechanisms are in place to identify, analyse and respond to complaint trends and monitor effectiveness of the process 	NA	Ongoing	Officer: Current: Yes / No

Item	Requirement	Mandatory elements	When	Status
Other matters				
CEO performance appraisal s12(4)(d) LGA	<ul style="list-style-type: none"> Mayor must conduct a CEO performance appraisal at least annually 	NA	At least annually	Officer: Current: Yes / No
Insurance s107 LGA s214 LGR	<ul style="list-style-type: none"> Maintain public liability insurance for \$30 million and professional indemnity insurance for \$10 million 	NA	Ongoing	Officer: Current: Yes / No
Organisational structure s196 LGA	<ul style="list-style-type: none"> Adopt an organisational structure (by resolution) allowing council to meet its responsibilities, noting that the CEO is responsible for appointing employees 	NA	Ongoing	Officer: Current: Yes / No

Documents that must be published

Item	Requirement	When	Status
Five year corporate plan Annual budget Investment policy Debt policy Community grants policy Procurement policy s199 LGR	<ul style="list-style-type: none"> • On website • Available at public office • Available for purchase 	Always	Officer: Current: Yes / No
Local law register s31 LGA s14 LGR	<ul style="list-style-type: none"> • On website • Available at public office 	Always	Officer: Current: Yes / No
Councillor conduct register s150DX-150DZ LGA	<ul style="list-style-type: none"> • On website • Available at public office • Available for purchase 	Always	Officer: Current: Yes / No
Process for resolving administrative action complaints s306 LGR	<ul style="list-style-type: none"> • On website • Available at public office • Include related policies and procedures 	Always	Officer: Current: Yes / No
Investigation policy s150AE LGA	<ul style="list-style-type: none"> • On website 	Always	Officer: Current: Yes / No
Register of interests of councillors s295 LGR	<ul style="list-style-type: none"> • On website (councillors only, not including registers for related persons) • Available at public office (councillors only, not including registers for related persons) 	Always, updated within 5 business days after being notified of any change	Officer: Current: Yes / No
Expenses reimbursement policy s251 LGR	<ul style="list-style-type: none"> • On website • Available at public office • Available for purchase 	Always, updated as soon as practicable after adopted or amended	Officer: Current: Yes / No
Council minutes s272 LGR	<ul style="list-style-type: none"> • On website • Available at public office • Available for purchase once confirmed 	Draft minutes within 5 business days after the meeting (unless confirmed sooner) Confirmed minutes within 1 business day after being confirmed	Officer: Current: Yes / No
Annual report ss182-190 and s199 LGR	<ul style="list-style-type: none"> • On website • Available at public office • Available for purchase 	Within 2 weeks of adopting the annual report	Officer: Current: Yes / No

Notices

Item	Requirement	When	Status
Notice of the days and times of all ordinary and committee meetings s277 LGR	<ul style="list-style-type: none"> In local newspaper On website Displayed in a conspicuous place at public office 	At least once in each year	Officer: Current: Yes / No
Meeting agendas s277A LGR	<ul style="list-style-type: none"> On website Available at public office Includes any reports or documents For both full council and committee meetings 	Agendas – within 1 business day after the agenda is made available to councillors or committee members. Reports and documents – as soon as practicable before the meeting	Officer: Current: Yes / No
Notice of discretionary funds budgeted for each financial year s201B LGR	<ul style="list-style-type: none"> On website Displayed in a conspicuous place at public office 	Within 20 business days of adopting the budget	Officer: Current: Yes / No
Notice of allocation of discretionary funding s202 LGR	<ul style="list-style-type: none"> On website Displayed in a conspicuous place at public office Publish a notice for each time new discretionary funding is allocated 	Within 7 business days after the CEO is notified	Officer: Current: Yes / No
Notice containing details of any contracts worth \$200,000 or more s237 LGR	<ul style="list-style-type: none"> On website Displayed in a conspicuous place at public office 	As soon as practicable after entering into contract, for at least 12 months	Officer: Current: Yes / No
Notice of making a local law s29B LGA	<ul style="list-style-type: none"> In gazette On website 	Within one month of making the local law	Officer: Current: Yes / No
Notice of closing roads s69 LGA	<ul style="list-style-type: none"> Published in any way council considers appropriate (including on the website for example) 	As required	Officer: Completed: Yes / No
Notice of approved inspection program s134 LGA	<ul style="list-style-type: none"> In local newspaper On website 	At least 14 but not more than 28 calendar days before the start of the program	Officer: Completed: Yes / No / NA
Invitation to fill councillor vacancy in final 18 months of term s166 LGA	<ul style="list-style-type: none"> In local newspaper On website Does not apply if vacancy must be filled by a party appointee 	Within 14 calendar days of the vacancy	Officer: Completed: Yes / No / NA
If directed, publish Minister remedial actions s116 LGA	<ul style="list-style-type: none"> In local newspaper On website 	As directed by the Minister	Officer: Completed: Yes / No / NA
Notice of legal proceedings to an owner of rateable land s239 LGA	<ul style="list-style-type: none"> Owner's current address <p>If uncertain about the owner's address, publish a summary of the document:</p> <ul style="list-style-type: none"> In local newspaper Gazette On website 	As required	Officer Completed: Yes / No / NA

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Notice of closing roads s69 LGA	<ul style="list-style-type: none"> Published in any way council considers appropriate (including on the website for example) 	As required	Officer Completed: Yes / No
Notice of approved inspection program s134 LGA	<ul style="list-style-type: none"> In local newspaper On website 	At least 14 but not more than 28 calendar days before the start of the program	Officer Completed: Yes / No / NA
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