

**NATIONAL SUSTAINABILITY FRAMEWORK - Financial Planning & Reporting + Asset Planning & Management**

**Advanced Competency - Self Improvement Questionnaire**

National Competency	Ref.	QUESTIONS	Status	Complete	Partially Complete	Not Started	Assessment Opinion
Blank		<b>Strategic Long Term Plan</b>					
Core		Council has a Strategic Longer Term Plan (planning horizon of at least 5 years) that incorporates a vision, strategic outcomes, mission, values and service outcomes that Council wants to achieve.	Complete				
Core		The development of the Strategic Longer Term Plan included community consultation and reflects community needs.	Partially Complete				
Core		The Strategic Longer Term Plan incorporates priorities and performance measures and indicates how they will be monitored and measured.	Partially Complete				
Core		Council has a sustainable Long Term Financial Plan covering the period of the Strategic Longer Term Plan (at least 5 year) supporting the implementation of its Long Term Plan.	Complete				
Core		The Long Term Financial Plan has been prepared based on the resource requirements and strategic objectives detailed in Council's Long Term Plan and Asset Management Plans.	Partially Complete				
Advanced	1.00	Council has a Strategic Longer Term Plan (ideally 20 years - at least 10 years) that incorporates a vision, mission, values and long term service outcomes that reflects how Council plans to provide for community needs.	Not Started				
Advanced	2.00	The development of the Strategic Longer Term Plan included community engagement and reflects community needs.	Not Started				
Advanced	3.00	Council has a sustainable Long Term Financial Plan (ideally 20 years - at least 10years) which establishes its prudential limits on debt, revenue raising, reserve funding, asset management funding and capital works to support its Long Term Plan.	Not Started				
Advanced	4.00	Council's Long Term Financial Plan is directly aligned with its Service Plans.	Not Started				
Advanced	5.00	The Long Term Financial Plan clearly separates 'recurrent expenditure' under the categories of operations and maintenance and clearly separates 'capital works expenditure' under the categories of renewal, upgrade and new.	Not Started				
Advanced	6.00	The Long Term Financial Plan clearly identifies the ongoing maintenance, operational and renewal impacts arising from capital works and contributed assets.	Not Started				
Advanced	7.00	Optimum life cycle costs are known and supported by high levels of data, information and knowledge in all key areas. Political decisions are informed by multiple service level / cost / funding model data, information and knowledge on tradeoffs for economic, social, cultural and environmental consequences.	Not Started				
Blank	7.00	<b>Strategic Long Term Overall Score</b>		2	3	7	<b>Not substantially progressed</b>
Blank	7.00						
Blank	7.00	<b>Annual Budget</b>					

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Core		The Annual Budget contains estimates of revenue and expenditure with an explanation of the assumptions and methodologies underpinning the estimates, an explanation of the financial performance and position of the Council and has been prepared based on the resource requirements and strategic objectives detailed in Council's Strategic Longer Term Plan, Asset Management Plans and Long Term Financial Plan.	Complete				
Core		The Annual Budget reflects the Council's strategic objectives and contains a statement of how Council will meet the goals and objectives of its Strategic Longer Term Plan.	Partially Complete				
Core		The Annual Budget aligns with Year 1 of the Long Term Financial Plan, and was adopted following community consultation	Partially Complete				
Core		Council's Annual Budget includes resources to implement Strategic Longer Term Plan strategies.	Complete				
Advanced	8.00	The Annual Budget financial ratios (liquidity, debt, underlying operating position) align with the Council's Long Term Financial Plan.	Not Started				
Advanced	9.00	The Annual Budget is prepared based on 'service levels' as reflected in the Strategic Longer Term Plan and contains indicators and measures to assess performance against achieving Council's strategic objectives.	Not Started				
Advanced	10.00	The Annual Budget clearly separates 'recurrent expenditure' under the categories of operations and maintenance and clearly separates 'capital works expenditure' under the categories of renewal, upgrade and new.	Partially Complete				
Advanced	11.00	The Annual Budget clearly indicates the ongoing maintenance, operational and renewal impacts arising from capital works and contributed assets.	Not Started				
Blank	11.00	<b>Annual Budget Overall Score</b>		2	3	3	Not substantially progressed
Blank	11.00						
Blank	11.00	<b>Annual Report</b>					
Core		The Annual Report complies with all statutory requirements including publication by the due date and is made widely available to the public.	Complete				
Core		The Annual Report includes independently audited financial statements that are prepared on an accrual basis in accordance with the Australian Accounting Standards.	Partially Complete				
Core		The Annual Report reviews the performance of the Council against its strategic objectives and explains variations between the budget and actual results and how these variations impact on the Strategic Longer Term Plan.	Partially Complete				
Core		The Annual Report includes details of any major changes in functions of the Council, organisation structure and/or policy initiatives and how these changes might impact on Council's Strategic Longer Term Plan.	Complete				
Core		In relation to the financial reporting framework in the Annual Report, the Annual Report addresses the following issues in accordance with relevant state policies, Australian Accounting Standards and other best practice guidelines: a. Asset valuations and revaluations b. Asset acquisitions including capitalisation policy c. Asset disposals	Complete				
Advanced	12.00	The Annual Report includes a performance assessment of progress towards achieving the goals and strategic objectives of the Strategic Longer Term Plan.	Complete				
Advanced	13.00	The Annual Report includes a statement of actual performance for the year as measured against the Long Term Financial Plan, including reporting on measures of actual financial performance against short and long term financial sustainability indicators.	Partially Complete				

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Advanced	14.00	The Annual Report distinguishes between 'recurrent expenditure' under the categories of operations and maintenance and 'capital works expenditure' under the categories of renewal, upgrade and new.	Partially Complete				
Advanced	15.00	The Annual Report includes a statement on "State of the Assets" and the financial sustainability of services provided by its infrastructure assets including any proposed adjustment to services/assets to address issues as they arise.	Not Started				
Advanced	16.00	The asset financial reporting within the Annual Report, is such based on the following: a. Documented Asset Accounting Policy in accordance with the Australian Accounting Standards. b. Audit processes involving internal audit committee and external auditors as required by legislation, to annually review all accounting processes. c. Audit management advice reviewed and acted on by Council.	Complete				
Blank	16.00	<b>Annual Report Overall Score</b>		5	4	1	<b>Partially meets requirements</b>

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Blank 16.00 **Asset Management Policy**

Core		Council has an adopted Asset Management Policy which defines the Council's vision and service delivery objectives for asset management.	Complete				
Core		The Asset Management Policy has a direct linkage with Council's Strategic Longer Term Plan and Long Term Financial Plan.	Complete				
Core		The Asset Management Policy requires the adoption of Asset Management Plans informed by community consultation and local government financial reporting frameworks.	Complete				
Core		The Asset Management Policy defines asset management roles, responsibilities and reporting framework.	Complete				
Core		The Asset Management Policy identifies a process for meeting training needs in financial and asset management practices for councillors and staff.	Partially Complete				
Advanced	17.00	The Asset Management Policy provides a reasonable basis for long-term integrated decision making by the Council and for participative decision making by the community and subsequent accountability to the community about the activities of the Council	Partially Complete				
Advanced	18.00	The Asset Management Policy clearly articulates the principles and financial implications upon which decisions relating to assets and their performance will be based. Such as:- • Whole of Life costs • Renew before New • Forms part of Long Term Financial Plan • Capital contributions	Partially Complete				
Advanced	19.00	The Asset Management Policy has organisational context and acknowledges the importance of asset management in supporting services provided by Council.	Complete				
Advanced	20.00	The Asset Management Policy identifies the need for Council reporting to be categorised in terms of operational, maintenance, renewal, upgrade and new expenditure classifications.	Partially Complete				
Advanced	21.00	The Asset Management Policy includes audit and review procedures, specifies review dates and has a sunset clause.	Not Started				
Blank	21.00	<b>Asset Management Policy Overall Score</b>		5	4	1	<b>Not substantially progressed</b>

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Blank 21.00 **Strategy and Planning**

Blank 21.00 **Asset Management Strategy**

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Core		Council has an Asset Management Strategy which shows how the asset portfolio can meet the service delivery needs of the community and defines the future vision of asset management practices within Council.	Complete				
Core		Council's Asset Management Strategy is linked to Council's Asset Management Policy and integrated into Council's Strategic Longer Term planning and annual budgeting processes.	Complete				
Core		Council's Asset Management Strategy documents the current status of asset management practices (processes, asset data and information systems) within the Council and what actions Council must take to implement the Asset Management Policy, including resource requirements, timeframes and accountabilities.	Partially Complete				
Advanced	22.00	Planning for New assets and the Upgrade of assets is driven by Council's Strategic Longer Term Plan, Council's Service Plans and Council's Asset Management Plans.	Partially Complete				
Blank	22.00	<b>Asset Management Strategy Overall Score</b>		2	2	0	Not substantially progressed

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Blank 22.00 **Asset Management Plans**

Core		There are documented Asset Management Plans for all material asset groups in a consistent format in accordance with industry best practice (E.g. Appendix A of the International Infrastructure Management Manual (IIMM)) available to all relevant staff across the organisation.	Complete				
Core		The Asset Management Plans define which asset groups are covered by each Plan in accordance with a clearly documented Infrastructure Asset Hierarchy.	Complete				
Blank		With respect to the content of the Asset Management Plans, they:					
Core		a. Refer to Council's Asset Management Policy and Asset Management Strategy;	Complete				
Core		b. Include all assets and document asset inventory information for the asset group/category as recorded in the asset register;	Complete				
Core		c. Document the asset hierarchy within each asset group;	Complete				
Core		d. Document the current condition of assets;	Complete				
Core		e. Document the adopted useful lives of assets;	Complete				
Core		f. Include risk assessment and criticality profiles;	Complete				
Core		g. Provide information about assets, including particular actions and costs to provide a defined (current and/or target) level of service in the most cost effective manner.;	Complete				
Core		h. Include demand management forecasts;	Complete				
Core		i. Address life cycle costs of assets;	Complete				
Blank		j. Include forward programs identifying cash flow forecasts projected for:					
Core		i. Asset Renewals;	Partially Complete				
Core		ii. New Assets and Upgrades of existing assets;	Complete				
Core		iii. Maintenance expenditure;	Complete				
Core		iv. Operational expenditure (including depreciation expense);	Partially Complete				
Core		k. Address asset performance and utilisation measures and associated targets as linked to levels of service;	Complete				
Core		l. Include an asset rationalisation and disposal program; and	Complete				
Core		m. Include an asset management improvement plan.	Partially Complete				
Core		n. Include consideration of non-asset service delivery solutions (leasing private/public partnerships)	Complete				
Core		o. Recognise changes in service potential of assets through projections of asset replacement costs, depreciated replacement cost and depreciation expense.	Partially Complete				

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Core		The Asset Management Plans link to the Council's Asset Management Policy, Asset Management Strategy, Strategic Longer Term Plan, Long Term Financial Plan and other relevant Council Policy objectives.	Partially Complete				
Core		The Asset Management Plans have all been prepared in association with community consultation.	Partially Complete				
Advanced	23.00	Asset Management Plans include future demand projections and forecasts based on population and demographic projections.	Not Started				
Advanced	24.00	Asset Management Plans are influenced by the level of community enquiry – Feedback on Customer levels of service.	Partially Complete				
Advanced	25.00	Asset Management Plans include the financial requirements to meet target levels of service levels for at least the next 10 years for each asset class and are correlated with the data in the Long Term Financial Plan.	Complete				
Advanced	26.00	Asset Management Plans include a process for optimising decisions to obtain the best value outcome for defined levels of service utilising scenario modelling and tradeoffs.	Not Started				
Blank	26.00	<b>Asset Management Plans Overall Score</b>		17	7	2	Not substantially progressed
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Blank	26.00	<b>Governance and Management</b>					
Core		Council has mechanisms in place to provide high level oversight by the Council, CEO/GM and Executive Management Team, for development and implementation of the Asset Management Strategy and Asset Management Plans.	Partially Complete				
Core		Roles and responsibilities are clearly defined in a matrix or policy, identifying positions responsible for determining levels of service and positions responsible for managing the assets to meet service delivery needs.	Partially Complete				
Core		The staff structure and position descriptions clearly define asset management functions, responsibilities and skill requirements for managing all asset classes.	Complete				
Core		Council has a documented process for making capital investment decisions, which is driven by Council's Strategic Longer Term Plan, Long Term Financial Plan and the Service Plan and explicitly details the impacts on the future operations and maintenance budgets, "Whole of Life" costs and risk management assessments.	Not Started				
Core		Council involves all its departments in Asset Management.	Partially Complete				
Core		Council has an Asset Management Steering Committee, with cross functional representation and clearly defined and documented terms of reference, focussed on coordinating the linkages between service delivery and asset management implementation.	Partially Complete				
Core		There are internal processes to promote Asset Management across Council	Partially Complete				
Advanced	27.00	Accountability mechanisms are maintained to ensure that Council resources are used optimally to address Council's strategic asset management objectives, as detailed in the Asset Management Strategy and Asset Management Plans.	Partially Complete				
Advanced	28.00	Council utilises their Infrastructure Asset Hierarchy as a basis for consistent reporting across the organisation.	Partially Complete				
Advanced	29.00	Community levels of service and technical levels of service are monitored are reported to the Executive Management Team and Council.	Not Started				
Advanced	30.00	When the Council and Executive consider the annual Capital Works Program, they prioritise works based on cost/benefit assessments (including risk) with resource implications reflected into the Long Term Financial Plan.	Partially Complete				

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Advanced	31.00	The Executive and Council are provided with an annual 'State of the Assets' report covering asset condition, asset performance, intervention levels, level of service monitoring and future financial sustainability options and consequences.	Partially Complete				
Advanced	32.00	Council has an Internal Audit Committee with competency to understand advanced asset management and the Internal Audit Committee provides an independent review and annual report on asset management performance across the whole organisation to the Council.	Partially Complete				
Blank	32.00	<b>Governance and Management Overall Score</b>		1	10	2	Not substantially progressed

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Blank 32.00 **Levels of Service**

Core		Council has Service Plans for each of its services which have been developed in consultation with the community.	Not Started				
Core		Council has undertaken the process of defining, quantifying and documenting current community levels of service and technical levels of service, and costs of providing the current levels of service.	Not Started				
Core		Current and target levels of service (for both community levels of service and associated technical levels of service) are clearly defined in each Asset Management Plan.	Partially Complete				
Core		Technical levels of service are incorporated into service agreements and/or maintenance, operational and capital renewal procedures.	Partially Complete				
Advanced	33.00	Council has undertaken the process of identifying the costs associated with each level of service, including the increased cost or decreased cost associated with increasing or decreasing each level of service respectively to assist in scenario modelling.	Not Started				
Advanced	34.00	Target community levels of service are defined through community consultation, considering population and demographic change projections, trend analysis and customer feedback and requests.	Not Started				
Advanced	35.00	Council has a communication plan to communicate information on infrastructure service delivery issues and Councils management of these issues to external stakeholders,	Not Started				
Advanced	36.00	The cost of maintenance and operational activities are reported against adopted levels of service.	Not Started				
Advanced	37.00	Council, in conjunction with the community, regularly reviews its community levels of service and technical levels of service, to determine the financial impact of a change in service levels. If a change occurs this is then reflected into the Asset Management Plan and Long Term Financial Plan.	Partially Complete				
Blank	37.00	<b>Levels of Service Overall Score</b>		0	3	6	Not substantially progressed

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Blank 37.00 **Data and Systems**

Core		Council has a consolidated, integrated, accurate, up to date and complete componentised asset register with the required functionality to ensure security and data integrity, which includes all information about each asset sorted by asset group.	Partially Complete				
Core		There is a common corporate data framework used across all asset groups, which is defined by Council's Infrastructure Asset Hierarchy.	Partially Complete				
Core		Council has documented repeatable methodologies to carry out consistent asset condition surveys and defect identification assessments, as documented in a Condition Rating Assessment Manual for applicable asset classes.	Not Started				
Core		Council's asset financial reporting functionality is comprehensive and includes audit trails, depreciation calculations, reporting thresholds and records of acquisition and disposal of assets	Complete				
Core		Council's systems, procedures and processes allow it to benchmark its asset management performance against like Councils over time.	Partially Complete				

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Core		Asset Management systems have the functionality to generate maintenance and renewal programs and produce associated cash flow forecasts.	Partially Complete				
Core		Council has defined and documented procedures for determining asset replacement and treatment unit rates, which are then stored in Council's Asset Management system.	Partially Complete				
Core		Council has a defined process for operations, maintenance, renewal and upgrade planning for its existing assets.	Not Started				
Advanced	38.00	Asset data is available to operations, design and planning staff across services areas when planning and undertaking works.	Partially Complete				
Advanced	39.00	Asset renewal funding requirements and funding gaps are determined utilising up to date asset condition information and scenario modelling used to optimise life cycle costs with risk tradeoffs.	Partially Complete				
Advanced	40.00	Asset Management systems have risk management functionality available to predict criticality of assets, record risk assessments, risk treatment, treatment costs and residual risk.	Not Started				
Advanced	41.00	Council records the results of asset condition surveys and defect assessments against individual assets, linked to the componentised inventory in the asset register. Time series condition data is maintained to allow monitoring of asset performance.	Not Started				
Advanced	42.00	Asset Management systems are able to predict asset life based on various assessment factors and compare actual against predicted deterioration behaviour.	Partially Complete				
Advanced	43.00	Council's Asset Management system can generate works orders based on intervention levels and customer requests which are also linked to the asset register. It has the capacity to monitor completion targets and perform facilities management functions.	Not Started				
Advanced	44.00	Council's Asset Management system is integrated with other corporate knowledge systems such as the finance, GIS and property information systems.	Partially Complete				
Advanced	45.00	Functionality of Council's Asset Management systems includes the ability to generate maintenance and renewal programs based on available budget and future condition profiles, to generate scenario specific cash flow forecasts and to generate optimised programs.	Not Started				
Advanced	46.00	Council's Asset Management systems are used to monitor asset performance over time.	Not Started				
Advanced	47.00	Council has documented data standards for inclusion in Asset Management systems upon the commissioning of new (and/or modified) assets.	Not Started				
Advanced	48.00	Council benchmarks its infrastructure funding gap against State and National indicators.	Partially Complete				
Advanced	49.00	Council's Asset Management system used to manage operations and maintenance functionality is driven by an asset knowledge management strategy, with specialised functionality for each service area to monitor operations and maintenance costs and trends.	Partially Complete				
Advanced	50.00	Data is available and accessible to enable performance measurement and reporting against Key Performance Indicators used to measure levels of service. Processes and information are driven by an asset knowledge management strategy linked to the Asset Management Plans and the Long Term Financial Plan.	Not Started				
Advanced	51.00	Data and systems allow projections which inform a range of service provision scenarios and costs. Adopted scenarios are incorporated into Asset Management Plans and the Long Term Financial Plan with an annual review in line with legislative requirements and policy papers issued by State Government	Not Started				
Blank	51.00	<b>Data and Systems Overall Score</b>		1	11	10	<b>Not substantially progressed</b>

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Blank 51.00 **Skills and Processes**

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Core		Council has a process to review and update the Asset Management Strategy on a maximum of a 5 year cycle. The Asset Management Strategy is to be formally adopted by Council.	Partially Complete				
Core		Council has a process to review and update Asset Management Plans for all asset groups on a maximum of a 3 to 4 year cycle consistent with the Council election cycle. Asset Management Plans are formally adopted by Council.	Not Started				
Core		Council has a process to identify operational risks, assign responsibilities and monitor risk treatment actions all recorded within a risk register.	Not Started				
Core		Council has a process to annually review and update the financial forecasts for all asset classes and update the Long Term Financial Plan.	Partially Complete				
Core		Council has assessed the skills and knowledge required to perform asset data management activities, conduct financial reporting valuations and develop Asset Management Plans. Council has a current asset management skills matrix. Staff training needs have been identified and training scheduled.	Not Started				
Core		Council has a defined methodology for assessing the Remaining and Useful Life, Residual Value and Depreciation Method of assets.	Partially Complete				
Core		Council has a process to collect and record asset data into an Asset Management system upon the commissioning of new (and/or modified) assets, including built and contributed assets.	Partially Complete				
Core		Council has formal processes for the handover of assets to asset custodians/owners.	Not Started				
Core		Council has a process to communicate the financial implications of the Asset Management Plans to internal and external stakeholders.	Partially Complete				
Core		Council provides ongoing training programs for councillors, council management and officers on key asset management topics.	Not Started				
Advanced	52.00	Following each Annual Budget cycle, Asset Management Plans and the Long Term Financial Plan are updated to reflect the current financial position and to maintain currency between all documents.	Partially Complete				
Advanced	53.00	Council has a process which incorporates research into the determination of asset lives based on condition and consumption rates.	Partially Complete				
Advanced	54.00	Council has a service rationalisation process linked to a Disposal Policy that identifies any services (and associated assets) that are surplus to community needs.	Not Started				
Advanced	55.00	Council has a documented process that identifies the outcomes of service delivery reviews for input into Asset Management Plans and the Long Term Financial Plan.	Not Started				
Advanced	56.00	When undertaking operations and maintenance activities there is a process to allow staff to communicate asset related issues to other service areas.	Not Started				
Advanced	57.00	There is a process to analyse risks and incorporate risk mitigation strategies into contingency plans within the planning cycle.	Not Started				
Advanced	58.00	Asset failures and causes of failures are recorded and analysed to identify failure trends and asset group rectification strategies.	Partially Complete				
Advanced	59.00	Council has a process whereby community enquiry and operational response issues are linked to individual assets.	Partially Complete				
Advanced	60.00	Council has an Optimum Decision Making framework to ensure consistent decision making. The Optimum Decision Making framework considers multivariable criteria linked to service and performance standards. There is a shift in emphasis from asset condition to service performance and value.	Not Started				
Advanced	61.00	Capital Works are prioritised based on the application of business cases incorporating whole of life costing, risk and benefit quantification and all data used in decision making is documented and recorded.	Partially Complete				



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Advanced	62.00	Staff are trained in best practice operating and maintenance procedures and activities.	Not Started					
Blank	62.00	<b>Skills and Processes Overall Score</b>			0	10	11	Not substantially progressed

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Blank 62.00 **Evaluation**

Core		Council has a documented evaluation process by which asset management improvements are identified, timeframes established, resources allocated, actioned, monitored and reported to the Executive Management Team and/or CEO	Not Started					
Core		Technical levels of service are monitored and performance reported.	Partially Complete					
Core		Community levels of service are monitored and performance reported.	Partially Complete					
Advanced	63.00	Council has a documented evaluation process by which asset management improvements are identified, timeframes established, resources allocated, actioned, monitored and reported to the Internal Audit Committee and Council	Not Started					
Advanced	64.00	Qualitative Key Result Areas (KRA's) are set for Community levels of service. KRA's are monitored, measured and reported to Council, against time based 'targets'.	Partially Complete					
Advanced	65.00	Quantitative Key Performance Indicators (KPI's) are set for Technical levels of service. KPI's are monitored, measured and reported to Council against time based 'targets'.	Not Started					
Advanced	66.00	Council undertakes an annual audit within the organisation to report on trends on Triple Bottom Line/Quadruple Bottom Line service delivery and accompanying financial sustainability compared to the Strategic Longer Term Plan.	Not Started					
Advanced	67.00	Council benchmarks its asset management performance improvement against State and National indicators and reports annually on its asset management improvement performance against set targets.	Not Started					
Blank		<b>Evaluation Overall Score</b>			0	3	5	Not substantially progressed

<b>Overall Action Status Summary</b>			143	35	60	48	Not substantially progressed
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