

SUPPLEMENTARY CHECKLIST - REVIEW OF COLLABORATIVE ARRANGEMENTS

This tool can be used where there is evidence that the Council is involved in a significant partnership/collaborative arrangement. The initial assessment of the significance of a given partnership/collaboration (to determine if it warrants closer examination) might have regard to the scale/budget of the operation, the Council's own assessment of its significance, whether there are innovative or unusual aspects to the function being undertaken and whether there are innovative or unusual aspects to the way the arrangement is governed.

STRATEGIC INTENT AND DIRECTION	ASSESSMENT & COMMENTARY/EVIDENCE		
Does the collaboration/partnership have documented aims and strategic directions?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Sight documentary evidence
Are these aims and directions clearly articulated as objectives with measurable outcomes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Review documentary evidence
Are the aims and strategic directions linked to the strategic intent of the member councils?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Cross reference with Community Strategic Plans and Delivery Plans of member councils

STRATEGIC INTENT AND DIRECTION	ASSESSMENT & COMMENTARY/EVIDENCE		
<p>Do the members collectively and individually measure the performance of the arrangement having regard to its documented aims and its overall strategic intent?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>How?</p>
<p>Is there regular reporting to participating councils and the community on the collaboration's progress towards fulfilling its aims?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>Sight evidence of reporting; Consider how the member councils measure, record and report on the costs and benefits of the arrangements? Consider if and how the councils place a \$ value on any accrued benefits.</p>

STRATEGIC INTENT AND DIRECTION	ASSESSMENT & COMMENTARY/EVIDENCE		
<p>Is there a detailed business plan to support implementation and ongoing operations?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>Does the business plan articulate :</p> <ul style="list-style-type: none"> • Principal activities of the arrangement? • Who is responsible for them? • Management of risk? • Resourcing? • Key performance indicators? • Criterion for determining success?

GOVERNANCE	ASSESSMENT & COMMENTARY/EVIDENCE		
<p>Has the legal status of the entity/arrangement been established and documented?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>Seek evidence as to the legal status of the arrangement. If it is a separate legal entity, seek evidence that it has been properly constituted with the requisite Ministerial approval (e.g. ministerial approval for corporations). Sight the relevant document and note whether it is governed by a constitution, memorandum of understanding, contractual agreement or some other means.</p>
<p>Was legal advice obtained and considered when adopting the structure and governance arrangements?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>If, no consider if would have been prudent to do so having regard to whether there are contractual obligations between the parties, the nature and scope of the arrangement and an assessment (and treatment) of risk.</p>

GOVERNANCE	ASSESSMENT & COMMENTARY/EVIDENCE		
<p>Did each Council seek its own <u>independent</u> legal advice prior to entering into the arrangement?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>If, no consider if would have been prudent for them to do so having regard to whether there are contractual obligations between the parties, the nature and scope of the arrangement and an assessment (and treatment) of risk.</p>
<p>Have key roles and responsibilities been agreed and documented?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>Sight evidence. Clarify the role of councillors and senior staff in the arrangement. Confirm who is responsible for making decisions and who is responsible for implementation decisions.</p>
<p>Is there an organisation chart that shows key roles and reporting relationships</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	

GOVERNANCE	ASSESSMENT & COMMENTARY/EVIDENCE		
Are service level agreements and/or standard contracts used to document the arrangement for the delivery of shared services?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Responsibilities of both the purchaser and the provider should be documented.
Is the decision making process documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	How? Is there a constitution and/or policies and procedures to guide decision making (record details)
Is there a system of delegations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Sight instruments of delegation.
Has the Council identified the potential for conflict of interest issues between the members' individual interests and the between the members and the collaborative entity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	What mechanisms in place to ensure any such conflicts are transparent and managed?
Are policies and procedures (including record keeping) documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Is there evidence of approval and review?
Have risks been assessed and treated?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check for initial and ongoing assessment of risk.

GOVERNANCE	ASSESSMENT & COMMENTARY/EVIDENCE		
Do supplier arrangements comply with tendering requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Check that tenders requiring determination by the elected Council under section 55 are referred to each member Council for determination.
Are there procedures for dealing with disputes between the participants?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Sight evidence of conflict resolution mechanisms.
Is there an agreed process for termination of the arrangement (including the distribution of any assets and the assigning of any liabilities)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Evidence:
Is there an agreed process for withdrawal of participants?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Evidence:
Is there an agreed process for the addition of new participants?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Evidence:

ASSET AND FINANCIAL MANAGEMENT			
Are the financial arrangements governing the collaboration documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Are there criteria for how financial contributions are determined, how costs and revenue are allocated and the ownership of any assets?
Is the financial performance of the arrangement measured and reported to the member Councils and the Community?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	How?
Is information about the arrangement's finances included in the participant Councils annual reports?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Were financial baselines determined when the arrangement was entered into by the Council?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Were these reported to the Council? Are they used to monitor financial performance?
Is there a means of readily indentifying who owns assets and who is responsible for insurance, replacement and maintenance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

WORKFORCE RELATIONS

Were council staff consulted during the development of the arrangement?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	How? Evidence?
Was the input of relevant employee industrial and professional bodies sought?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Evidence?
For shared staff, are their employer, supervisory and work allocation arrangements agreed and documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Is there evidence that the potential for role conflict and role ambiguity having been addressed?