ABN 43 593 215 992

POLICY DEVELOPMENT

FRAMEWORK

COUNCIL RESOLUTION
DATE: 27/03/2018

Policy Development Framework

EFFECTIVE DATE: Council Ordinary Meeting – 27th March 2018
LINK TO CORPORATE PLAN: Good Governance
REVIEW DATE: October 2018
REVIEWED DATE: Council Ordinary Meeting – 20th August 2019
DELEGATION: Authority in respect of this Policy is hereby delegated to CEO
RELATED DOCUMENTS: Administrative and Human Resource Policy

1.0   Purpose

This Policy establishes a Policy and Procedures Framework incorporating a policy hierarchy, a template for the preparation of new policies and methodology for the management of policies and procedures whether adopted by Council or introduced by the Chief Executive Officer and the administration.

The purpose of the Policy and Procedures Framework is to contribute to the consistency, clarity, transparency and accountability of the Council's decision-making processes and in the delivery of services. This will be achieved by providing a mechanism whereby Elected Members and staff create and access a comprehensive collection of the current Council and administrative policies and procedures.

The Framework will apply to all Council and administrative policies and procedures.

The Napranum Aboriginal Shire council [NASC] is committed to maintaining a robust and integrated Corporate Governance Framework that will assure stakeholders that the Council is pursuing its objectives and fulfilling its responsibilities with due diligence and accountability.

The operational aspects of policies should be separated and detailed in a procedural format to provide a consistent and accountable framework for service delivery.

2.0   Objective

The objectives of the Council's Policy and Procedures Framework are to:
a) Develop a holistic and hierarchical policy and procedural framework which logically accommodates all of Council's polices and underlying procedures to guide effective decision-making and service delivery.
b) Create a common, consistent and timely process for the development and endorsement of policy and procedures which promotes alignment with the Council's values.
c) Establish a common standard for the development of policy and procedures including the collection of adequate information to support implementation and review.
d) Establish controls for the management and retention of the Council's policies.
e) Establish a common standard for policy documents to ensure adequate information is collected to assist implementation and review.

3.0   Policy Statement

The following framework is established.

Policy Framework

Category	Approval Source	Comment
Governance	Council	Mandatory policy required by legislation AND Policies established by Council for the guidance or direction of the organisation. For ease of reference these can be grouped into common subject headings: – Community and Cultural Services – Corporate Governance – Economic Development – Elected Members – Financial Management – Human Resources – Information Management – Internal Audit – Recreation, Parks and Reserves – Risk Management – Roads and Traffic – Waste Management N.B. This list is indicative only and is not intended as a holistic listing of those areas where Council policies may be potentially required now or in the future and may be varied as work progresses.

Category	Approval Source	Comment
Corporate	Chief Executive Officer or Senior Leadership Group	Policies introduced by the Chief Executive Officer [CEO] and/or adopted by the Senior Leadership Group [SLG] to guide and direct staff. For convenience of use these may be broken into sub-categories such as. - Administrative / Financial - Asset Management - Contracts and Procurement - Corporate Information and Knowledge - Information Communications Technology - Human Resources - Workplace Health & Safety
Departmental	Divisional Managers	Policies adopted by the Divisional Manager to direct business unit or work group

It is acknowledged that some policies, while administrative in nature, may also fall within the charter of Council. For example Fraud and Privacy Policies. Decisions as to whether these policies are endorsed by the CEO/SLG or Council are to be made on a case by case basis.

The creation of Council Policy can frequently bring about the creation of a lower level Administrative Policy to more specifically guide staff in the application of the Council's intent. Policies may be supported by procedures which direct organisational action.

Writing and Reviewing Policies

Format
All policies shall be presented in a standard format and will include:
- Policy Summary
- Policy Objectives
- Background
- Policy Statement
- Legislation, Terminology and References
- Implementation and Delegation; and
- Evaluation and Review.

A policy template is attached.

Writing New Policies

Step 1 POLICY RESEARCH	Undertake research, review legislation, existing policies [which may require amending] and best practice. Informally consult with other work groups which may be affected.
Step 2 DRAFT POLICY	Draft document. Council and Administrative Policies have a number of different stakeholders [i.e. Elected Members, management, staff, community, regulators, media, etc.] and care will need to be taken to frame policy pronouncements in an appropriate tone and style for the respective stakeholders. The standard template must be used. Refer Attachment to this Policy.
Step 3 POLICY CONSULTATION	For all corporate policies and those requiring consideration by Council. • First, submit to CEO or relevant Division Manager for approval to seek comment. • Policies should be reviewed by the relevant Council Committee or business unit based on subject: – Policies that may have an impact on other Divisions to be submitted to relevant Division Managers for consideration. – Draft policy reviewed and updated in light of comments and resubmit to responsible Division Manager for in principle approval.

Step 4 **POLICY APPROVAL**	The approval process is as follows: • Departmental policies submitted to relevant Division Manager for final approval. • Corporate policies submitted to Division Manager for final approval. • Governance and Legislative policies submitted to SLG for approval. If approved by SLG, Governance and Legislative policies submitted to Council for formal endorsement. Policies for endorsement by Council should be submitted as an attachment to a report. The report's recommendation, should include the following: "THAT the (insert subject) Policy as contained in the Attachment to Report be adopted as Council Policy".
Step 5 **POLICY RECORDING**	Once adopted, the Executive Assistant or relevant Division Manager [case of Departmental Policies] will ensure that the adopted policy has a unique identifier from adopted record management system. New approved policies are then to be forwarded to the Corporate Services Division Manager for assignment of policy number and inclusion in the Policy Register. **Policy Category** **Responsibility** Governance Relevant Divisional Manager Corporate CSDM Departmental Relevant Divisional Manager
Step 6 **POLICY IMPLEMENTATION**	Once adopted, the CEO or relevant Division Manager will be responsible for implementing the policy. Depending upon the policy this may necessitate: • Advice to staff • Upload to website, Media releases • Drafting of complementary policies, or detailed operational procedures.

Reviewing Existing Policies

Policies will be reviewed as follows:

Governance	During each Council term in line with any reviews to the Corporate Plan or when there is a change to circumstances or legislation.
Corporate	During each Council term in line with any reviews to the Corporate Plan or when there is a change to circumstances or legislation.
Departmental	During each Council term in line with any reviews to the Corporate Plan or when there is a change to circumstances or legislation.

Individual policies may be reviewed more frequently if circumstances warrant. When reviewing policies, the steps set out for writing new policies should be followed.

After each Council election, the CEO will establish a program for the review of all Governance policies during the term of the new Council.

The review process will be initiated by Corporate Division Manager who will maintain the Policy Database.

Legislation, Terminology and References

Policy

A policy is a statement of Council's philosophical position on a specific issue. It is a high-level commitment to guide present and future decisions in relation to specific issues, or, principles of acceptable behaviour and action. The policies provide the overall framework in which the Council operates.

Policies are developed at two distinct levels:
- Council Policies: those policies that support the work of Council, some of which may be required by legislation and are created by a resolution of Council i.e. Governance Policies
- Administrative Policies: those policies that support the work of the CEO and are created by a decision of the CEO or SLG.

It should be noted, however, that some policies, while administrative in nature, also fall within the charter of Council.

For example, the Procurement Policy. Decisions as to whether these policies are endorsed by CEO/SLG or Council are to be made on a case by case basis. Some policies of this type may also include operational procedures and guidelines.

The creation of Council Policy can frequently bring about the creation of a lower level Administrative Policy to more specifically guide staff in the application of the Council's intent.

Both Council and Administrative Policies have a number of different stakeholders. For example, Funding Bodies, Elected Members, management, staff, community, regulators etc. and care will need to be taken to frame policy pronouncements in an appropriate tone and style for the respective stakeholders.

Procedures
Procedures are more stringent rules for action. Procedures define the specific rules, steps or actions required to apply or implement a Council or Administrative Policy.

Procedures will define management directives or rules, inputs, responsibilities, tasks to be completed, outputs and other elements necessary for the understanding and performance of a process.

Procedures set parameters, geared to implementing policy or complying with legislation, about which choices may not be made.

Procedures:
- Are mandatory steps (processes, templates);
- Must be supportive of laws and corporate policies;
- Respond to corporate policy and/or laws in a way that reflects corporate principles;
- Is a way of ensuring uniformity of behaviour across the organisation; and
- Ensures consistency and continuity of services.

Strategies
Strategies form the master plan for how objectives will be achieved. These can be developed at the corporate, business unit or functional levels e.g. Asset Management Plans.

The Policy and Procedure Framework does not intend to record or classify strategies but plan developers should be aware that elements of policy and procedure are often incorporated into strategies.

These elements should be distilled from the approved strategies and translated into the standard formats to maintain the completeness of the Framework.

Implementation and Delegation

Responsibilities

Council
Section 9 of the Local Government Act sets out the statutory 'Powers of local government generally' of the Council.

Establishing Policies is one of the key mechanisms by which the Council carries out its statutory responsibilities.

The role of the Council is therefore to determine Council's policies and be knowledgeable of policy precedents to ensure a complementary Council policy environment.

Senior Leadership Group
Led by the Chief Executive Officer [CEO] to determine the Council's Administrative policies and be knowledgeable of the Council and Administrative policy precedents to ensure a complementary organisational policy environment.

CEO
Sections 194 of the Local Government Act states that local government appoints a CEO to meet the performance standards expected by the local government and appoint employees.

The CEO is also responsible for ensuring that the Council has appropriate administrative policies and procedures to ensure services are delivered with accountability and due diligence.

The CEO will also ensure that all approved Council Policies are uploaded onto Council's website, Division Managers are responsible to ensure Policies and Procedures are filed in Council's database.

All NASC staff will be able to access copies of all Policies and Procedures on the Council website with one printed set at the NASC held by the Executive Assistant.

Note that for any printed copies of Policies or Procedures that the default reference should always be made to the Electronic version as the primary current record.

Division Managers, Supervisors, Managers and Staff
Ensure that Council and Administrative policies and procedures are developed and maintained in accordance with this Framework and to be knowledgeable of, and act in accordance with, the policy and procedural environment.

Records Management

Current practice is a policy data base. It's envisaged that a new system will be introduced to ensure education and training to facilitate the classification of policies and procedures within an established file referencing hierarchy, and to establish universal accessibility and appropriate document management and retention.

Corporate Service Division Manager

Manage the implementation of the Framework including the policy development and review timetable. Moreover, provide a quality assurance and moderation service in relation to the development of policies and procedures.

Delegation

The Council delegates to the CEO the authority to determine those matters that need to be referred to Council for adoption utilising the Policy and Procedures Framework.

Evaluation and Review

Performance measures for monitoring the effectiveness of the Council Policy and Procedures Framework are:
- Extent to which the programmed policy initiatives are delivered;
- Availability and currency of strategy and Council policy documents covering all the major areas of interest on the NASC web site;
- Availability and currency on the intranet policy database of all operating procedures necessary to give effect to Council strategies and policies; and
- Consistency of terminology and format of policy documents.

Policy Development Matrix

New Policy required by Council or Administration

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Phase 1 Policy Research

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Phase 2 Draft Policy
With regard for intended audience, methodology for evaluation to be clearly identified.

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Phase 3 Policy Consultation

Review Feedback ← Policies affecting other work Division to relevant Division Manager

Relevant Division Manager in-principle approval

Phase 4 Policy Approval

GOVERNANCE	CORPORATE	DEPARTMENTAL
Division Manager endorse	Division Manager Adopts	Division Manager Adopts

Submit for Council for consideration

Community Consultation Required	Community Consultation Not required
Council Adopt	Council Adopt

Relevant Division Manager provides reference to Corporate Services

Executive Assistant provides reference to Division Manager Corporate Services

Relevant Officer Implements policy

Division Manager Corporate Services includes in Policy Register and initiates review at appropriate time

Relevant Division Manager endorse

Review and evaluation by designated date

Review and evaluation by designated date

POLICY TITLE   **: XXXXXX**
POLICY NUMBER   **: XXXXXX**
EFFECTIVE DATE   **: XXXXXX**
LINK TO CORPORATE PLAN **: XXXXXX**
REVIEW DATE   **: XXXXXX**
DELEGATION   **: XXXXXX**
RELATED DOCUMENTS/POLICY : XXXXXX

Policy Purpose

Insert 1 – 2 paragraphs.

Policy Objectives

The objectives of the Procurement Policy are to:

a. XXXXXX;
b. XXXXXX;

Background

This policy applies to the XXXXXXXXXXXXXX.

Insert paragraphs as needed on why the policy is needed or what has led to it being written.

1 – 4 paragraphs

Policy Statement

How the policy will work – for example –

Council officers must have regard to the following procurement principles in all purchasing activities:

    a. Value for money
    b. Open and effective competition
    c. Enhancement of the capabilities of local business and industry
    d. Environmental protection
    e. Ethical behaviour and fair dealing

Council must harness its purchasing power to achieve the best value for money. The concept of value for money is not restricted to price alone. The value for money assessment, in line with council's vision of quadruple bottom Line [Social / Environment / Economic / Civic Leadership] must include consideration of:

1. contribution to the advancement of Council's priorities; and
2. fitness for purpose, quality, services and support; and
3. whole-of-life costs including costs of acquiring, using, maintaining and disposal; and
4. internal administration costs; and

5. technical compliance issues; and
6. risk exposure; and,
7. the value of any associated environmental benefits.

Legislation, Terminology and References

List the legislation that relates to the policy or the policy from which it is drawn.

Explain terminology (definition) if needed.

And references if required.

For Example: In this policy, a reference to a price or purchase value is intended to be inclusive of Goods and Services Tax. (Incl. GST).

This policy document is based on the Local Government Act 2009 (Qld) (LGA 2009) and Local Government Regulation 2012 (Qld) (LGR 2012.

Current asset – an asset that can be turned into cash within 12 months.

Implementation and Delegation

This section contains the details of the policy, the parameters under which it operates, etc

Evaluation and Review

It is the responsibility of the [person listed on front page as having responsibility] to monitor the adequacy of this policy and recommend appropriate changes. This policy will be formally reviewed every three years or as needed, whichever comes first.

Other related NASC policies

Enter other existing related NASC policies by name e.g. Financial Delegations

Version	Decision Number	Adoption Date	History
1			