Temora Shire Council

DRAFT

Policy Framework

Temora Shire Council Policy Framework

DOCUMENT AUTHORISATION

RESPONSIBLE OFFICER (by position title)	
AUTHORISED BY (GM or Director Title)	
DATE ADOPTED:	
ADOPTED BY: (Manex or Council)	
MINUTE NO (IF REQUIRED):	
REVIEW DUE DATE: (Four years unless statutorily required sooner)	
REVISION NUMBER:	###

DOCUMENT HISTORY

VERSION NO.	DATE	DESCRIPTION	AUTHOR	MINUTE NO (WHERE REQUIRED)

REVIEW OF THIS POLICY

This Policy will be reviewed within 4 years (for those policies without statutory time frames - or in accordance with statutory time frames) from the date of adoption or as required in the event of legislative changes. The Policy may also be changed as a result of other amendments that are to the advantage of Council and in the spirit of this Policy. Any amendment to the Policy must be by way of a Council Resolution or the approval of the General Manager.

TABLE OF CONTENTS

1. Purpose

Developing, adopting and reviewing policy is a prime responsibility of the Council under the Local Government Act 1993. A Policy Framework provides a structure and process for the initiation, development, adoption and review of the Council's Policy documents ensuring policies:

- Are developed in a consultative, comprehensive and consistent manner
- Underpin and support Council's strategic objectives as articulated in the Community Strategic Plan
- Provide a clear understanding of the Council and management responsibilities in policy development and review
- Ensure consistency with and meet the compliance requirements of legislation
- Are consistent with and support the current Council's Vision

2. Scope

This policy provides the guidelines within which all other Policy documents, including Policy Procedures and Plans for the Temora Shire Council will be developed, adopted, maintained and reviewed.

3. Policy Statement

Policy Type
Policy sets out an organisation's position and accepted role and assists in decision-making relating to a particular area of activity.

Council Policies are Policies or Procedures that are either required by Legislation (i.e. Code of Conduct) or impact on the Community in some way (i.e. Cemeteries Policy). Many of these policies may require consultation with the community and often relate to the goods, services and activities provided to or by the Council. There are some policies or codes that required Council to adopt a model set of provisions which may not necessarily comply strictly with this policy

Operational Policies guide the operational business of Council (i.e. Records Management Policy). Human Resource and WH&S Policies address Policy issues relating to employees of Council (i.e. Protective Clothing Policy) and the health and welfare of people in the workplace.

Policy Procedures define the specific guidelines or actions required to apply or implement a Policy. Most Policies are supported by procedures, which ensure that Polices are practical and workable. It is best practice that Policies themselves should not document procedural arrangements that are not related to decision making. This information should be laid out in a procedure which is referenced in the relevant Policy document. Out of scope from this framework are standard operating procedures which are separate from council and administration Policies and Policy procedures.

Policy Approval
Effective Policies must be supported by a formulation, review and approval process to ensure correct implementation and consistency across Council. Details on these are found below:
Policy Formulation by Responsible Officer
- Research and analysis of required new Policy
- Compliance with relevant Legislation
- Consultation with key stakeholders eg. Staff members, Consultative Committee, WHS committee etc

- Draft Policy in template format
- Completion of Checklist

Policy Content Reviewed by Manex
- Meeting held of Manex
- Evaluate Policy from a legal and risk perspective
- Approved *(or tracked changes required for resubmission by Policy Owner)*

Policy Approval by General Manager or Council
- Reviewed by General Manager and/or Council for adoption
- Approved (or changes required for resubmission)

Policy Implementation post Approval
- Policy Owner will advise staff and key stakeholders of new Policy and provide training to affected staff if required
- Policy Owner will review policy in accordance with review cycle procedure
- The Policy Owner will provide the document to the Executive Secretary who will arrange to enter Policy/Procedure on Pulse and Council record system and arrange upload on Council's website (Council Policy only)

Policy Review Cycle

Council Policies will be reviewed and approved at least once every term of Council unless required more frequently under Legislation, rapidly changing operating landscape or due to an inadequacy/error encountered. Organisational Policies will also be reviewed and approved on a similar cycle by the Management Executive (Manex). Reviews of all policy documents may be on a staggered basis to enable greater consideration to be given to each Policy.

Any changes to Policies will be highlighted using the 'tracked changes' functionality in Microsoft Word to clearly identify any modifications made to an existing Policy to then submit to the relevant Director for final review prior to adoption by Manex, General Manager or Council.

A reminder will be sent electronically 3 months prior to the review due date to the Policy Owner, with the Policy Review Procedure supporting this process for guidance and consistency.

Policy Categorisation

Both Council and Operational Policies and Procedures can be on the Council's policy Management System under the relevant headings:
- Community
- Engineering / Works
- Finance
- Governance
- Human Resources
- Planning and Regulatory
- Risk Management
- Workplace Health and Safety (WHS)

Content of Policies

All Policies ideally will be developed in accordance with the Policy Template (See Appendix 1). This may not be possible or necessary in all instances however the general format should be followed. In some instances, a Model code may be required to be adopted that does not follow the specific format outlined (eg, Code of Conduct)

There are some basic key principles that should be taken into consideration when developing or reviewing policies.

- No reproduction/duplication of legislation or relevant standards (however reference to the relevant standard or section of legislation should be included)
- Linkage to one or more Community Strategic Plan and Delivery Program outcomes and/or objectives e.g. Adopt practices and systems that support a skilled, motivated and community focused workforce
- Only include Policy material that assists in decision making
- Procedural content should be referred to as a separate procedure or guidelines document
- Consistent naming conventions and terminology
- Provide reference to other related Policies and Procedures
- A standard format for Policies will ensure a consistent and professional approach to the management of Policies.

Policy Maintenance

The Policy register will be maintained by the Executive Secretary who will ensure the appropriate policies are accessible to the public and staff. This team will also provide guidance in the preparation and development of policies where required.

4. Definitions

Framework means the structure that underpins and supports the strategic objective. In this case the Policy Framework provides a structure and process for the initiation, development, adoption and review of Council's policy documents.

Type refers to Council, Operational or Procedure

Category shall mean the department within Temora Shire Council that the policy is essentially owned and responsible for implementation by.

The Act shall mean the Local Government Act 1993

The Regulation shall mean the Local Government (General) Regulation 2005
Standard Operating Procedures are out of scope from this framework and are separate from council and administration policies and policy procedures.

5. Legal Compliance & References

Legislation / Recognized Standards	• Local Government Act 1993 • Local Government (General) Regulation 2005
Australian / International Standards	• ISO 31000:2009
Risk Assessment	• N/A
Other References	• Records Management Policy • Policy Review Procedure (Appendix 2) • Policy and Policy Procedures Checklist (Appendix 3)

<...POLICY TITLE...>

AUTHORISATION

POLICY TYPE: (Council or Operational)	
POLICY CATEGORISATION: (eg Community, Engineering, etc)	
RESPONSIBLE OFFICER (by position title)	
AUTHORISED BY (GM or Director Title)	
DATE ADOPTED:	
ADOPTED BY: (Manex or Council)	
MINUTE NO (IF REQUIRED):	
REVIEW DUE DATE: (Four years unless statutorily required sooner)	
REVISION NUMBER:	###

DOCUMENT HISTORY

VERSION NO.	DATE	DESCRIPTION OF AMENDMENTS include names of former policies that this policy will replace if applicable	AMENDED BY (WHERE REQUIRED)

REVIEW OF THIS POLICY

This Policy will be reviewed within 4 years from the date of adoption or as required in the event of legislative changes. The Policy may also be changed as a result of other amendments that are to the advantage of Council and in the spirit of this Policy. Any amendment to the Policy must be by way of a Council Resolution or the approval of the General Manager.

1. Table of Contents:

2. Policy Objectives / Purpose:

In this section, please outline briefly why we have the policy. Preference is for plain English so it is easy for people to understand. For example:

The purpose of this policy is to guide staff through the process of writing policy documents.

3. Scope of Policy:

This section is where you list all those who are affected by this policy and its procedure documents. An example would be the Code of Conduct document would include something like the following:

This policy document applies to all elected representatives and Council employees, including contractors and volunteers.

4. Outcomes:

Here you would include information about what we are trying to achieve with the policy – for example, using a communications policy:

To clearly advise all those involved with Council or affected by Council decisions with information that is relevant and important to them.

5. Roles and Responsibilities

This is where you include position titles of all those who are responsible or authorised to implement this policy as well as those who need to help make it happen such as specific roles that have specific responsibilities.

6. Definitions

List items and provide explanations as to what it means. Remember, not everyone knows what we are talking about!

Also, if there are any acronyms within the document – please spell those out clearly in this section so everyone knows who or what you are referring to.

7. Legislation and Supporting Documents

What statutory evidence is there to support this policy?

Include any State, Regional and Local plans – such as those from Regional Development, Roads and Maritime Services, Police etc (depending on what is relevant) as well as any internal Council plans or policies – such as Work Health and Safety, Business Continuity, Investment Policy, etc.

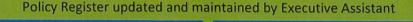## 8. Relationship to Community Strategic Plan

Make reference here to where this policy fits within the Integrated Planning and Reporting process. EG This Policy supports Council's Delivery Program Strategy *10.3 Ensure the General Manager takes a high level role in implementing the Community Strategic Plan and other Council documents*

9. Attachments

Policy Procedure

These are the actual working parts that include all the "how to" information. This section is included as an attachment because if it needs to be amended and it is part of a policy which has been adopted by Council, it will need to go through the whole advertising/report writing process. As an attachment, it is an internal working document and, as such, does not necessarily require a Council resolution for it to be authorised. HOWEVER, any changes to procedures WILL need to be signed off by the General Manager before implementation.

Appendix 2 – POLICY APPROVAL & REVIEW PROCESS

Initial requests for the development or an amendment to a Council policy or procedures are to be referred

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Responsible Officer to consider and develop/revise the policy or procedure and any attachments.

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Revised draft policy/procedure to be sent to relevant Director for consideration.

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Responsible Officer then refers the revised draft policy/procedure for discussion to relevant Committee and/or interested stakeholders (internal and external)
NB: if required otherwise miss this step

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Risk or WHS related policy/procedure to WHS Committee
HR related/policy/procedure to Consultative Committee

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Responsible Officer then refers the revised draft policy/procedure to Manex through their Director

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Outcome from Manex notified from Director/GM back to Responsible Officer (if required)

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Responsible Officer to prepare report to Council (if required)

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Adoption of policy by Council after submissions (if required) and review

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Responsible Officer to email all staff advising them of changes and updates to policy or procedure

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Responsible Officer is to ensure all completed documentation is uploaded into Content Manager, Pulse, Council's website (in PDF format)

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Policy Register updated and maintained by Executive Assistant

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Appendix 3 – Policy & Procedure Preparation Checklist

Things to consider BEFORE developing policy (responsibility of Policy Author):	YES	NO	N/A	COMMENT
Is there a specific need or purpose for the policy?				
Are the factors driving the need for the policy clearly defined?				
Has the nature and extent of any risk associated with the continuing absence of this policy been determined?				
Will the policy affect council employees, volunteers and/or Councillors?				
Will the policy affect others outside the Council organisation				
Have you consulted with others in the Council as to whether the policy is needed?				
By what date must this policy be implemented? (if applicable)				
Does the proposed policy:				
• Comply with federal and state laws, rules, and regulations?				
• Impact existing policies or bylaws, procedures, forms				
Have you checked similar policies with other Councils?				
Do you need to consult with Council staff committees on the policy? (e.g., Consultative, WHS etc)				
Do you need to consult with specific Council staff on the policy?				
Was this consultation undertaken? Note time and place in comment section				
Things the Draft policy should include:	YES	NO	N/A	COMMENT
Has the policy been prepared using current template?				
Are the policy author and authorising officer titles included?				
The type of policy is identified e.g., Council, Operational etc				

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	YES	NO	N/A	COMMENT
Implementation date (the date the policy comes into force)				
Review date has been included				
Any organisational policies that the policy replaces				
Specific content of policy documents				
Purposed – Do we need to have the policy				
Scope – Who does the policy apply to				
Outcomes – Information about what the policy will achieve				
Roles and Responsibilities – who are the people who will need to carry out specific roles for this policy to be implemented				
Definitions – List the key terms that are used in this policy and explain what some of the terms mean so people are not confused (not everyone is fluent in Council-speak)				
Relationship to the Community Strategic Plan – how does this policy fit within the CSP/Delivery Program &/or Operational Plan?				
Legislation and Supporting Documents – list all legislation that applies (check the legislation to ensure it is current) and include other Council Policies and Plans e.g., code of conduct, risk management plan, corporate plan, audit policy, information management policy, financial management policy				
Attachments – this is where you include the procedure for the policy's implementation.				
Actions for the Policy Author				
Has the Policy approval process been adhered to?				
Policy's adoption including location of the policy, where copies can be found, any training which is required and when it will be held communicated to staff determined				
Method of communication used				
Is training required for the policy?				
Training method used (list in comments)				

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When the policy has been approved (Responsibility of Governance/Administration/Records)	YES	NO	N/A	COMMENT
The policy author, authorising officer, adoption date and any minute numbers relating to its adoption are included				
Save the Policy into the Document Management System Content Manager, website, and policy register (Pulse) in PDF format				
Save checklist into Document Management System and associate with policy				
Policy saved on Council's website?				
For Council Policy documents, is a media release required to inform the community?				