

<b>TITLE:</b>	Policy and Procedures Framework		
<b>DIVISION:</b>	Governance		
<b>ADOPTED BY:</b>	Council		
<b>DATE OF ADOPTION:</b>	20 October 2016	<b>DATE OF REVIEW:</b>	Each Periodic Election
<b>MOTION NUMBER:</b>	OC260/16		
<b>POLICY NUMBER:</b>	CP000023		
<b>AUTHORISED:</b>	Chief Executive Officer		

## THIS POLICY APPLIES TO:

All employees and its Elected Members

## SUMMARY

The aim of all policy is for Councillors to provide strategic input into the effective operational framework of the organisation under S.11 of the Local Government Act

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

## POLICY OBJECTIVE

The objectives of this Policy are to:

- Provide a structure to accommodate all of Council's polices and underlying procedures to guide effective decision-making and service delivery
- Establish a common standard for the development of policy and procedures including the collection of adequate information to support implementation and review

## BACKGROUND

The purpose of the Policy and Procedures Framework is to contribute to the consistency and transparency of the Council's decision-making processes by providing a mechanism whereby Elected Members and staff can develop policies and procedures and, can readily access the complete collection of all current policies and procedures.

The Framework will apply to all Council and administrative policies and procedures and any other relevant documentation.

## POLICY STATEMENT

### Power to Make the Policy

Council is empowered to make this Policy pursuant to the Local Government Act 1999 Section 125.

**Local Government Act 1999**  
**Administrative and financial accountability**  
**Chapter 8 - Accounts, financial statements and audit**  
**Part 3 - Internal control and audit committee**  
**Division 2**  
**Section - 125 Internal Control Policies**

A council must ensure that appropriate policies, practices and procedures of internal control are implemented and maintained in order to assist the council to carry out its activities in an efficient and orderly manner to achieve its objectives, to ensure adherence to management policies, to safeguard the council's assets, and to secure (as far as possible) the accuracy and reliability of council records.

This policy applies to all documentation that is created, distributed and retained for information and action in Barkly Regional Council, including:-

- Forms (including guidelines and fact sheets)
- Policies
- Procedures
- Templates
- Registers
- External documents
- Any other relevant documents

## POLICY FRAMEWORK

The following Policy Framework is established.

Category	Approval Source	Comment
Governance	Council	Mandatory policy required by legislation AND policies established by Council for the guidance or direction of the organisation and/or to complement the strategic plan and other planning documents.
Corporate	Chief Executive Officer and Executive team	Policies introduced by the Chief Executive Officer and reviewed by the Executive team to guide and direct staff. For convenience of use these are broken into sub-categories. <ul style="list-style-type: none"> <li>• Corporate</li> <li>• Human Resources</li> <li>• Community Services</li> <li>• Infrastructure</li> <li>• Workplace Health &amp; Safety</li> </ul>
Departmental	Director	Policies introduced by Director for their Department or a work group for discussion and review.

It is acknowledged that some policies, while administrative in nature, also fall within the ambit of Council – e.g. Fraud and Privacy Policies. The creation of a policy by the Council can frequently bring about the creation of a lower level policy by the Chief Executive Officer or a Director to more specifically guide staff in the application of the Council's intent. Policies may be supported by Guidelines and or Procedures which direct organisational action.

## PROCESS

### Writing and Reviewing Policies Format

All policies shall be presented in a standard format (**bulleted**) and will include:-

- Title table
  - Document title
  - Division
  - Adopted By
  - Date of Adoption
  - Date of Review
  - Motion Number
  - Policy Number
  - Authorised by
- Policy applies to
- Purpose of policy
- Summary of policy
- Objectives of policy
- Background
- Policy Statement
- Risk Management statement
- Terminology and Definitions
- References
- Legislation and Standards
- Links
- Responsibility and Delegation
- Evaluation and Review

### Writing New Policies

<b>Step 1 RESEARCH</b>	Undertake research, review legislation, existing policies (which may require amending) and best practice. Consult with other work groups which may be affected.
<b>Step 2 DRAFT</b>	<p>Draft document.</p> <p>Council and Administrative Policies have a number of different audiences (e.g. Elected Members, management, staff, community, regulators, media, etc.) and care will need to be taken to frame policies in an appropriate tone and style for the respective audiences.</p> <p>Where practicable the operational aspects of policies should be separated and detailed in a procedural format to provide a consistent and accountable framework for service delivery. The standard template must be used.</p>

<p>Step 3 <b>CONSULTATION</b></p>	<p>For all policies that require consideration by Council:  <b>First</b>, submit to relevant Manager for approval to seek comment.  <b>Second</b>:</p> <ul style="list-style-type: none"> <li>• Human Resource policies to be submitted to Executive team for consideration</li> <li>• WHS policies to be submitted to WHS Committee for consideration. In the event there is no WHS Committee, policies to be submitted to the Manager responsible for WHS</li> <li>• A policy that may have an impact on other Departments is to be submitted to relevant Director's for consideration.</li> </ul> <p><b>Third</b>, review and update the draft policy as appropriate in the light of comments and resubmit to responsible Director for in principle approval.</p>
<p>Step 4 <b>APPROVAL</b></p>	<p>The approval process is as follows:</p> <ul style="list-style-type: none"> <li>• Policies for endorsement by Council should be submitted as an attachment to a report. The report's recommendation, should include the following:-             <ol style="list-style-type: none"> <li>a) Receive and note the report</li> <li>b) Adopt the <b>Policy number – Policy name</b></li> </ol> </li> <li>• All policies once approved by the Chief Executive Officer and Directors must be submitted to Council for endorsement.</li> </ul>
<p>Step 5 <b>RECORDING</b></p>	<p>Once adopted, the Quality/Governance Officer will:</p> <ul style="list-style-type: none"> <li>• Complete the Policy by adding, Adopted by, Date of Adoption, Date of Review and Motion Number</li> <li>• Upload the Policy onto InfoXpert</li> <li>• Upload to the BRC Website</li> <li>• Advise and disseminate to all staff</li> <li>• Email to all Local Authority members as a agenda item for their meetings</li> <li>• Add to Policy Register in InfoXpert</li> </ul>
<p>Step 6 <b>IMPLEMENTATION</b></p>	<p>Once adopted the Chief Executive Officer or relevant Director will be responsible for implementing the policy.          Depending upon the policy this may necessitate:</p> <ul style="list-style-type: none"> <li>• Media releases</li> <li>• Drafting of complementary policies, or detailed operational Procedures</li> </ul>

## Writing and Reviewing Procedures Format

All procedures shall be presented in a standard format (**numbered**) and will include:-

- Title table
  - Document title
  - Division
  - Date of Adoption
  - Date of Review
  - Policy Number
  - Authorised by
- Procedure applies to
- Purpose of procedure
- Procedure for the procedure
- Training and Competency
- Documents and Record Management
- Terminology and Definitions
- References
- Legislation
- Links
- Responsibility and Delegation
- Evaluation and Review

The standard template must be used. Refer Appendix One and Two attached to this Policy.

## Reviewing Existing Policies

All policies under review are **In Force** until reviewed, amended or superseded.

All Policies will be reviewed during each Council term. Individual policies may be reviewed more frequently if circumstances warrant. After each general election, the Chief Executive Officer will establish a program for the review of all Governance policies to ensure consistency with the updated Strategic Plan. Policies will also be reviewed when there is a change to circumstances or legislation. Responsibility lies with the Chief Executive Officer and/or with the relevant Director.

## Superseding Existing Policies

All policies that are to be superseded are **In Force** until the policy has been superseded.

All superseded policies to be kept for seven (7) years. All superseded policies to be added to a register for superseded policies and kept in a Superseded Register on InfoXpert.

Register to contain:-

1. Policy number
2. New, revised or same policy name (May be a name change)
3. Previous Policy name (the policy that has been superseded)
4. Where the superseded copies are being held

## RISK MANAGEMENT

The Barkly Regional Council when developing policies and procedures is aware that there may be risks that Barkly Regional Council employees, Elected Members, communities and stakeholders may be exposed to in its management and review of policies and procedures. In the implementation of the Barkly Regional Council policy development, all Elected Members, employees, communities and stakeholders are encouraged to communicate any risks they perceive to the Chief Executive Officer.

## TERMINOLOGY & DEFINITIONS

### *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 to establish principles of acceptable behaviour and action. The policies provide the overall framework in which the Council operates.

Policies are developed at two distinct levels:-

1. **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; and
2. **Administrative Policies:** those policies that support the work of the Chief Executive Officer and are created by a decision of the Chief Executive Officer, Chief Officer's Group or a Director

It should be noted, however, that some policies, while administrative in nature, also fall within the ambit of Council – i.e. the Procurement Policy. Some policies of this type may also include operational procedures.

### *Procedures*

Procedures are more rigorous 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 and compliance is mandatory.

### *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. Regional Plan. Developers of strategic or other plans 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 Policy Framework.

## REFERENCES

Barkly Regional Council – Document Control Policy  
Barkly Regional Council – Delegation Policy  
Barkly Regional Council – Good Governance Policy  
Barkly Regional Council – Records Management Policy  
Barkly Regional Council – Corporate Design Policy

## LINKS

[http://www.austlii.edu.au/au/legis/nt/consol\\_act/lga182/](http://www.austlii.edu.au/au/legis/nt/consol_act/lga182/)

## RESPONSIBILITIES & DELEGATION

### *Responsibilities*

#### Council

Sections 11, 12 and 13 of the Local Government Act set out the statutory 'Role, Functions and Objectives' 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.

## Chief Executive Officer

Section 101 of the Local Government Act provides that the Chief Executive Officer is responsible to the Council for, inter alia, ensuring 'that the council's policies, plans and lawful decisions are implemented'. The Chief Executive Officer is also responsible for ensuring that the Council has appropriate administrative policies and procedures to ensure services are delivered with accountability and due diligence.

## Directors, Managers and Staff

Directors, Managers and Staff must be knowledgeable of, and act in accordance with, adopted policies and procedures and must ensure that policies and procedures are developed and maintained in accordance with this Framework.

## *Delegation*

The Council delegates to the Chief Executive Officer the authority to determine those matters that need to be referred to Council for consideration and to initiate policy reviews as the Chief Executive Officer considers appropriate.

## **LEGISLATION AND STANDARDS**

Local Government Act 1999

## **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 Council policy documents on the Council's web site and intranet
- Consistency of terminology and format of policy documents

This Policy should be evaluated yearly – Next evaluation date - 20 October 2017