Tiwi Islands Regional Council

Title:	**Policy and Procedures Framework**
Policy No:	01
Adopted By:	Council
Next Review Date:	Refer "Policy and Procedure Framework"
Responsibility:	Chief Executive Officer
InfoXpert Document Number :	195526

Version	Decision Number	Adoption Date	History
1	Resolution 14 of 27-05-15	27 May 2015	Original document

1 Policy Summary

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.

2 Policy Objectives

The objectives of the Council's Policy and Procedures Framework are to:

2.1   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.

2.2   Create a common, consistent and timely process for the development and endorsement of policy and procedures which promotes alignment with the Council's values.

2.3   Establish a common standard for the development of policy and procedures including the collection of adequate information to support implementation and review.

2.4   Establish controls for the management and retention of the Council's policies within the Council's Electronic Document Records Management System (EDRMS).

2.5   Establish a common standard for policy documents to ensure adequate information is collected to assist implementation and review through the Council's EDRMS.

3 Background

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 procedures.

Tiwi Islands Regional Council

Tiwi Islands Regional Council 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.

4 Policy Statement

The following Policy 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:
		• Animal Management
		• Cemetery Management
		• Climate Change and Environment
		• Community and Cultural Services
		• Council Property
		• Economic Development
		• Elected Members
		• Financial Management
		• Governance
		• Human Resources
		• Meeting Procedures
		• Recreation, Parks and Reserves
		• 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.

.

Tiwi Islands Regional Council

Category	Approval Source	Comment
Corporate Procedure	Chief Executive Officer or Executive Management Team	Policies introduced by the Chief Executive Officer and/or adopted by the Executive Management Team to guide and direct staff. For convenience of use these are broken into sub-categories. • Administrative / Financial • Human Resource • Workplace Health & Safety • Asset Management • Information Communications Technology • Corporate Information and Knowledge • Contracts and Procurement
Administrative Procedure	Director	Procedures adopted by the Director to direct business unit or work group
CEO Operational Instruction	CEO	Specific direction given to one or more senior staff in relation to operations and performance

It is acknowledged that some policies, while administrative in nature, may also fall within the charter of Council – e.g. Fraud and Privacy Policies. Decisions as to whether these policies are endorsed by the Chief Executive Officer/Executive Management Team 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 Procedures to more specifically guide staff in the application of the Council's intent.

Policies may be supported by procedures which direct organisational action.

5 Writing and Reviewing Policies

5.1 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.

5.2 Writing New Policies / Procedures

Step 1 **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**	Draft document. Council Policies and Procedures 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 **CONSULTATION**	For all Policies and Procedures requiring consideration by Council. • First, submit to relevant Director for approval to seek comment. • Policies and procedures should be reviewed by the relevant Council Committee or business unit based on subject: Policies and Procedures that may have an impact on other Departments to be submitted to relevant Directors for consideration. Draft policy and procedures reviewed and updated in light of comments and resubmit to responsible Director for in principle approval.
Step 4 **APPROVAL**	The approval process is as follows: • Administrative procedures submitted to relevant Director for final approval. • Corporate procedures submitted to Executive Management Team for final approval. • Governance policies submitted to Executive Management Team for pre approval. If approved by Executive Management Team, Governance 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 **RECORDING**	Once adopted, the Governance & Compliance Manager (or relevant Director in the case of Administrative Procedures) will ensure that the adopted policy / procedure has a unique identifier from InfoXpert. New approved policies / procedures are then to be forwarded to the Governance & Compliance Manager (GCM) for assignment of policy number and inclusion in the policy database. **Policy Category** — **Responsibility** Governance — GCM Corporate Procedure — GCM Administrative Procedure — Relevant Director CEO Operational Instruction — GCM
Step 6 IMPLEMENTATION	Once adopted the Chief Executive Officer or relevant Director will be responsible for implementing the policy / procedure. Depending upon the policy / procedure this may necessitate: • Advice to staff • Media releases Drafting of complementary policies, or detailed operational procedures, etc

Reviewing Existing Policies / Procedures

Policies / Procedures will be reviewed as follows:

Governance	During each Council term in line with any reviews to the Council Plan or when there is a change to circumstances or legislation.
Corporate Procedures	During each Council term in line with any reviews to the Council Plan or when there is a change to circumstances or legislation.
Administrative Procedures	During each Council term in line with any reviews to the Council Plan or when there is a change to circumstances or legislation.
CEO Operational Instruction	During each Council term in line with any reviews to the Council Plan or when there is a change to circumstances or legislation.

Individual policies / procedures may be reviewed more frequently if circumstances warrant.

When reviewing policies / procedures, the steps set out for writing new policies / procedures should be followed.

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

All staff will be invited to comment on current policies as part of the review process.

The review process will be initiated by the Governance and Compliance Manager who will maintain the Policy Database.

6 Legislation, Terminology and References

6.1 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 and Procedures 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; and

- *Corporate & Administrative Procedures*: those procedures that support the work of the Chief Executive Officer and are created by a decision of the Chief Executive Officer or Executive Management Team.

It should be noted, however, that some policies, while administrative in nature, also fall within the charter of Council – i.e. the Procurement Policy. Decisions as to whether these policies are endorsed by Chief Executive Officer/Executive Management Team or Council are to be made on a case by case basis. Some policies of this type may also include operational procedures.

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

Both Council Policies and Administrative Procedures have a number of different stakeholders (i.e. Funding Bodies, 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.

6.2 Procedures

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

- Respond to Council 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.

6.3 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.

7 Implementation and Delegation

7.1 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.

Audit Committee

Must be satisfied that at minimum, the Council has adequate systems in place to ensure the maintenance of an appropriate financial control and compliance framework for the Council.

Executive Management Team

Led by the Chief Executive Officer to determine the Council's Corporate and Administrative procedures and be knowledgeable of the Council and Administrative procedure precedents to ensure a complementary organisational policy environment.

CEO

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.

The CEO will also ensure that all approved Council Policies are uploaded onto Council's website, Directors are responsible to ensure Policies and Procedures are filed in Council's internal electronic InfoXpert Records Management System.

All TIRC staff will be able to access printed copies of all Policies and Procedures at each Council office (held by the respective Office Manager).

Tiwi Islands Regional Council

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.

Directors, 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

Provide the EDRMS system, consultancy, 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.

Governance & Compliance Manager

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

7.2 Delegation

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

8 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 Tiwi Islands Regional Council 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.

Tiwi Islands Regional Council

Need for new Policy identified by Council or Administration

Step 1
Research
Relevant Officer undertakes research including review of existing policies

Step 2
Draft
Draft Policy having regard for intended audience. Objectives and methodology for evaluation to be clearly identified

Step 3
Consultation
Relevant Director approves for consultation purposes

HR Policies to Management Team

WHS Policies to WHS Committee

Policies affecting other work group(s) to relevant Director (s)

Review in light of comment

Relevant Director gives in principle approval

Step 4
Approval

Governance Policy

Corporate Procedure

Departmental Procedure

Exec Mgmt Team Endorses

Exec Mgmt Team Adopts

Director Adopts

Submit to Council for Consideration

Community consultation required

Community consultation not required

Council adopt

Council adopt

Executive Assistant provides InfoXpert identifier and forward policy to Governance & Compliance Manager (GCM)

Relevant Director provides InfoXpert identifier and forwards policy to Governance & Compliance Manager (GCM)

Relevant officer implements policy

Governance & Compliance Manager includes in database

Relevant Director implements policy

Review and evaluation by designated date

Governance & Compliance Manager initiates review at appropriate time

Review and evaluation by designated date