

POLICY FRAMEWORK

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1. WHAT IS A POLICY FRAMEWORK?

A **policy framework** (framework) is a logical structure that is established to organise policy documentation into groupings and categories to aid administration.

The framework provides a structure and process for the initiation, development, adoption and review of Council and Internal policies and procedures ensuring they:

- are developed in a consultative, comprehensive and uniform manner;
- are consistent with and meet the compliance requirements of legislation;
- do not duplicate legislation;
- are written in plain English and easy to understand;
- are aligned with the Shire's core values;
- provide a clear understanding of the Council and management expectations;
- assign responsibility and accountability for development, review and approval;
- support strategies outlined in the Strategic Community Plan and Corporate Business Plan.

2. POLICY DEFINITION

A concise statement of strategic objectives or principles that give effect to the Local Government's obligations or objectives, minimise risk, guide subsequent decisions and actions and ensure that the Local Government's community is served in an open, accountable, consistent and sustainable manner.

[WALGA - Decision Making in Practice](#)

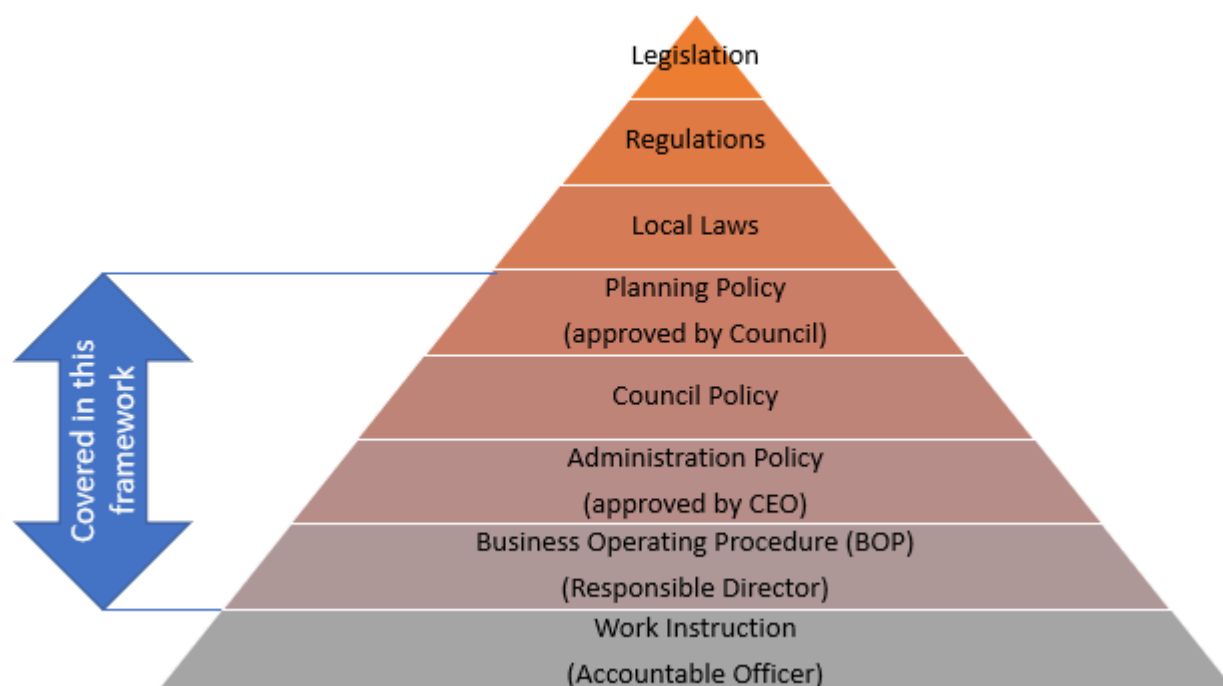
Policies are similar in some ways to mission statements.

3. POLICY STRUCTURE

The Shire is governed by a range of legislation and regulations which it must comply with and can also develop its own Local Laws.

Policies and procedures are a means of the Shire further regulating its own activities by setting out principles and rules that must be followed by the Shire when undertaking its activities.

The diagram below shows the hierarchy of policy documents within the policy framework:



3.1 Planning Policy

Planning policies are a subset of Council policies that assist with the administration of the Shire of Broome Local Planning Scheme No. 6 (LPS6).

Planning policies adopted under LPS6 are approved by Council.

The *Planning and Development (Local Planning Schemes) Regulations 2015*, Schedule 2 - Deemed provisions for local planning schemes, Part 2 – Local planning framework Clauses 3 & 4 outline the process to adopt a Local planning policy. Clauses 5 & 6 detail the procedure to amend or revoke a local planning policy.

3.2 Council Policy

Section 2.7(2)(b) of the *Local Government Act 1995* prescribes that a **primary function** of the Council is determining the local government's policies.

Council policies focus on the strategic and statutory decision-making obligations of the Council. The policy may relate to an Express Power or Duty or a matter that is non-statutory and entirely discretionary.

A Council policy decision will impact the Local Government's strategic, financial or operational resources and may also impact service levels provided to the community.

Care must be taken to ensure that Council Policy does not cross over into the statutory functions and responsibilities of the CEO for the day to day operations of the Local Government.

Council policies apply to Council, Elected Members and employees when fulfilling their decision-making responsibilities.

3.3 Administration Policy

Administration Policies are an important component of internal governance, providing principles for the control of activity and decision making relevant to the Chief Executive Officer's duties for managing the day to day operations of the local government. [s.5.41(d) *Local Government Act 1995*]

The CEO is therefore the decision maker for the adoption, amendment or revoking of Administration Policy.

Administration Policy applies only to employees (and where appropriate contractors) of the Local Government. The Council and the Elected Members are not bound by or subject to Administration Policy.

Note: Historical terms such as Management Directives and HR Directives will no longer be used. Any existing directives will be converted to either an Administration Policy or Business Operating Procedure.

3.4 Business Operating Procedure (BOP)

A procedure is the second level of the Policy Framework, which is more detailed than a Policy and describes the **who does what and when** (in sequence order).

They may directly relate to a policy or the stand-alone performance of an administrative function or activity.

A BOP establishes the internal controls that support, consistent service levels, maximise efficiency and effectiveness, meet compliance obligations, mitigate risk and ensure operational standards.

3.5 Work Instructions

Work instructions should be very detailed on **"how"** to accomplish a specific job, task or assignment.

The Shire is implementing Promapp to capture detailed work instructions across the Shire.

3.6 Example Policy Hierarchy

Classification	Intent	Example	Approval
Council Policy	<ul style="list-style-type: none"> Policy that directly impacts the Council & community Policy that guides Council decision making 	<ul style="list-style-type: none"> Asset Management Policy Community Sponsorship Policy 	Council Resolution
Planning Policy	<ul style="list-style-type: none"> Policy linked to LPS6 	<ul style="list-style-type: none"> Outdoor Dining 	Council Resolution
Administration Policy	<ul style="list-style-type: none"> Policy that affects the running of the whole organisation 	<ul style="list-style-type: none"> Use of Shire Vehicles Acceptable Internet and Email Use 	CEO sign-off
Business Operation Procedure	<ul style="list-style-type: none"> Defines business rules (who/when we do something) 	<ul style="list-style-type: none"> Management of Crocodile Sightings 	Responsible Director
Work Instruction	<ul style="list-style-type: none"> Localised processes (How we do something) 	<ul style="list-style-type: none"> End of day cash reconciliation procedure 	Accountable Officer

4. POLICY DEVELOPMENT

A policy response will be considered where there is either a complexity or lack of clarity in one or a combination of any of the following circumstances:

1. Legislative requirement;
2. Industry standards;
3. Organisational standards;
4. Strategic objective; or
5. Community need or expectation.

A policy will only be proposed where it can be demonstrated that it will deliver clarity and consistency in decision-making, improved efficiency, effectiveness, or improved community outcomes.

The initiation of a Council policy requires either a resolution of Council or a comprehensive Officer report to Council. The initiation of an Administrative policy is at the discretion of the CEO.

All new policies or major amendments to Council or Planning policies are to be workshopped with Council during the drafting stage prior to submitting to Council for adoption.

4.1 New Policies and Major Amendments

Where a new policy, or a review of an existing policy is commenced, the following key elements must be considered:

- Statutory compliance obligations
- Industry standards, codes of practice, guidelines
- Risk implications
- Customer / community needs and expectations
- Whether it effectively integrates in the Shires operations
- External stakeholder consultation, where determined appropriate
- Internal stakeholder consultation
- Potential resource and budget implications

4.2 Minor amendments to existing policies

Where amendments are required for any of the reasons listed below, provided the amendments do not alter the substantive operations of the policy, the amendments can be approved by the Manager Governance, Strategy & Risk without referral to Council:

- Changes in legislative references
- Changes in Shire position titles
- Changes in administrative arrangements of State and Federal Governments
- Changes in Shire document titles
- Changes to correct grammar or typographical errors

4.3 Policy & Procedure writing tips

- Write documents in plain English
- Use simple words that readers will understand
- Use short sentences and break up statements into paragraphs
- Avoid using jargon or language that requires specialist knowledge
- Avoid using information that can be quickly outdated. For example, use positions and titles as opposed to names
- When using acronyms, provide the full term/title before using the acronym
- Stick to the point. Limit unnecessary background and non critical content

The best written policies and procedures are written with the reader in mind.

5. POLICY AND PROCEDURE REVIEW

Each Policy and Procedure is to be assessed using the following risk considerations:

- a) Implications of statutory requirements;
- b) Implications for operational effectiveness and efficiency
- c) Potential for negative impact;
 - I. Financial
 - II. Health/Safety
 - III. Reputational
 - IV. Compliance
- d) Complex procedures or technical information; or
- e) Change is likely to occur

Where the risks are determined as **'high'** and specially where change is likely to occur, the policy or procedure must be scheduled for review on an annual basis.

Where the risks are determined as **'low – moderate'** and there is no likelihood of change, the policy or procedure is to be scheduled for a **review** at least once every three years. This does not preclude the Shire from undertaking a review as and when required.

All Council and Planning Policy reviews are to be approved by Council. All Administration Policies are to be approved by the CEO. Business Operating Procedures reviews are approved by the Responsible Director.

Policy and Procedure Owners are required to do a **minor desktop review** annually to ensure that no minor changes as per 4.2 are required or that a **major review** is required.

Minor desktop reviews do not need the approval of Council or the CEO.

6. POLICY AND PROCEDURE CONTENTS

Where possible, policy and procedures should have a consistent format. The table below has been provided as a guide.

Header	Council/ Planning	Administration Policy	Business Operating Procedure
Contents	No	No	Optional
Purpose/Objective	Yes	Yes	Yes
Background	No	No	Optional
Policy Scope	Yes	Yes	No
Policy Statement	Yes	Yes	No
Roles & Responsibilities	Yes	Yes	Yes
Owner	Yes	Yes	Yes
Performance Measures (PM) and Key Performance Indicators (KPI)	Yes	Yes	No
Review Frequency including Risk Rating	Yes	Yes	Yes
Related Documents	Yes	Yes	Yes
Reporting Requirements	Yes	Yes	No
Links to Legislation/Regulation (if applicable)	Yes	Yes	Yes
Definitions	Optional	Optional	Optional
Process Diagram	No	No	Optional

Policy Template

X.X.X

7. Policy Template

Policy Objective

This policy establishes.....

Policy Scope

This policy applies to:

Policy Statement

Roles & Responsibilities

Performance Measures

Document Control Box							
Document Responsibilities:							
Owner:	[insert position title]	Owner Business Unit:	[insert Unit Title]				
Reviewer:	[insert position title]	Decision Maker:	[Council / CEO]				
Compliance Requirements:							
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