POLICY & PROCEDURE FRAMEWORK
Adopted 1 June 2020

Contents:

1.   **PURPOSE**

This Framework relates to the development and management of policies, corporate policies and procedures. The Council is required under Section 59 of the Local Government Act to review policies to ensure they are appropriate and effective.

2.   **SCOPE**

This Policy and Procedure Framework applies to all Council employees that develop Council Policies (policies required by legislation), Corporate Policies (internally focussed), Procedures, Work Health and Safety Policies and Safe Operating Procedures.

3.   **DEFINITIONS**

Council Policies:
- High level statements that have been developed to comply with a statutory requirement and involves a resolution of Council; or
- May also be developed where there may be a significant impact on council members or the community;

Corporate Policies / Work Health Safety Policies (WHS)
- Internally focussed and provide a consistent direction that meets Council's objectives (eg Corporate Uniform Policy or Return to Work Policy)

Procedures and Safe Operating Procedures (SOPs)
- May be a statutory requirement;
- May be linked to a policy or provide guidance on implementation of a practice and may be step by step instructions. They may have a Council, community or internal employee focus. These documents may be in a format of Safe Work Method Statements (SWMS), Safe Operating Procedures (SOP), and Task Risk Assessments (TRA)

4.   **ROLES & RESPONSIBILITIES**

Council
- Consider endorsing the Policy and Procedure Framework
- Consider adopting a new or reviewed Policy
- Consider any recommendations for adoption of Policies from the Audit and Risk Committee
- Ensure there is consideration of relevant policies as part of decision making.

Audit and Risk Committee
- Review the Policy and Procedure Framework and consider making a recommendation to Council to adopt the Framework
- Review and endorse any Policies that are relevant to the Committee's terms of reference

Chief Executive Officer
- Monitor and review the effectiveness of the Council's Policies and Procedures
- Consider all Council Policies prior to presentation to Council,
- Consider all Corporate Policies and WHS Policies for approval
- Consider all Procedures that are associated with a Council Policy or affect a significant number of staff for approval

Corporate Governance Group (CGG)
- Review and endorse the Policy Framework
- Review and consider Policies as they are presented to CGG
- Make recommendations to the Chief Executive Officer on new or reviewed Policies

General Managers
- Review quarterly compliance reports of policies and procedures and liaise with relevant responsible officer to ensure they are reviewed by the required date
- Consider if additional policies will assist with staff decision making
- Provide minor revisions of Corporate policies to the CEO for approval
- Ensure policies (other than those with minor changes) are provided to either CGG prior to recommend approval by the CEO, or Audit and Risk Committee or Council for endorsement (as detailed at 5.2)
- Ensure that Corporate Policies and procedures that affect a significant number of staff, are approved/signed by the Chief Executive Officer

Managers/Leadership Group
- As Policies owners ensure relevant policies are developed and reviewed regularly
- Ensure your staff are aware of the Policies and Procedures relevant to their role
- Review quarterly compliance reports to ensure policies and procedures are reviewed by the required date
- Consider if additional policies will assist with staff decision making
- Ensure contractors are aware of relevant Council policies and procedures

Risk and Governance Officer
- Assist staff with Policy or Procedure development
- Review all Council Policies, Corporate Policies and Procedures that affect a significant number of staff, before being presented to either the Work Health Safety Committee, CGG, Audit and Risk Committee or Council, to confirm correct template and endorsement process
- Review content for clarity and relevance rather than specific subject matter
- Confirm if community consultation is required

- Develop, monitor and review the Policy and Procedures Framework
- Maintain a Register of Council Policies, Corporate Policies and Procedures
- Produce a compliance report from the Policy Register monthly
- Provide advice on using the Policy Framework

Work Health and Safety Committee
- Review and endorse Work Health and Safety Policies by the review date and recommend to the CEO

Work Health and Safety (WHS) Co-ordinator
- Assist staff in development of Safe Operating Procedures
- Develop, monitor and review WHS Policies and provide to the WHS Committee, to CGG and to the CEO for signature
- Maintain a Register of Work Health and Safety Policies and Procedures and SOPs

Employees:
- Read and understand the Policies and Procedures relevant to your role
- Participate in education/training related to the Policy if provided
- Contribute to policy and procedure reviews

5.   FRAMEWORK STATEMENT

5.1   CONTENT DEVELOPMENT
All documentation will be consistent with the Council templates (provided as an attachment to this document).

The development of a policy will involve:
- consideration of whether a Policy is the best way to achieve the desired outcome, or whether the incidence is infrequent and a decision of Council or management is preferred;
- research on the topic; and
- whether a new policy is required or whether an existing policy should be updated or revoked.

Community consultation will be undertaken if required by legislation. The Policy Author may elect to undertake community consultation even when not required.

Policies and Procedures will:
- ensure clarity and consistency of approach
- involve consultation with relevant stakeholders during preparation;
- be developed where there is a statutory requirement;
- be developed to assist staff in being fair and consistent;
- be written clearly and easily understood

- will not duplicate what is in legislation or standards (other than a reference to it)
- be current and accurate
- clearly articulate responsibility, expectation and accountability;

5.2 APPROVAL AND IMPLEMENTATION STEPS

DOCUMENT	STEPS BY AUTHOR	Review – Reminders sent out monthly	Access

COUNCIL POLICY	1. Policy drafted or reviewed
	2. General Manager approves new policy or changes to policy proceeding to steps below
	3. Review by relevant staff and Risk and Governance Officer
	4. If only minor changes - can be provided to Chief Executive Officer to approve to proceed to step 6
	5. If significant changes- report to CGG – recommending approval by the Chief Executive Officer to proceed to either:
	   - Audit & Risk Committee (ARC) if within their terms of reference; or
	   - Council
	6. Prepare a report to either ARC for recommendation to Council to adopt or to Council to adopt or to consult with the community
	7. Once adopted by Council author completes front table and has loaded to website
	8. Author considers what training is required (if any) and implements
		• New Policy – 6 or 12 months as determined by Council
		
		• Reviewed Policies – 3 years As specified in legislation or
		
		• Earlier if deemed necessary
			Website
			
			Hard copy at front counter

CORPORATE POLICY	1. Policy drafted or reviewed 2. General Manager approves new policy or changes to policy proceeding to steps below 3. Review by relevant staff and Risk and Governance Officer 4. If only minor changes - can be provided to Chief Executive Officer to approve and sign	• New Policy – 6 or 12 months as determined by CGG • Reviewed Policies – 3 years	Insite May be provided to the community and council members on request to relevant

	5. If significant changes report to CGG – recommending approval by the Chief Executive Officer 6. If approved Chief Executive Officer signs Policy 7. Author completes front table and has loaded to Insite (intranet) 8. Author advises staff of new/revised policy 9. Author considers what training is required (if any) and implements		General Manager
COUNCIL PROCEDURE	1. Procedure drafted or reviewed 2. General Manager approves procedure proceeding to steps below 3. Review by relevant staff If Procedure affects a significant number of staff: 4. Review by Risk and Governance Officer 5. If only minor changes - can be provided to Chief Executive Officer to approve and sign 6. If significant changes report to CGG – recommending approval by the Chief Executive Officer 7. If approved Chief Executive Officer signs Procedure 8. If associated with a Council Policy will be provided to either ARC or Council with the Policy for noting 9. Author completes front table and has loaded to Insite (intranet) or website 10. Author advises staff of new/revised procedure 11. Author considers what training is required (if any) and implements	• New Procedure – 6 or 12 months as determined by CGG • Reviewed Procedure – 3 years	Insite If associated with a Council Policy the website / hard copy at the front counter
WORK HEALTH SAFETY (WHS) POLICIES AND PROCEDURE	1. Policy and Procedure drafted or reviewed 2. Relevant Managers and Risk and Governance Officer review 3. WHS Committee reviews and recommends approval by the Chief Executive Officer	• 3 years or • more frequently if legislation or Council's needs change as per the requirements	Insite

	4. If approved Chief Executive Officer signs the policy/procedure 5. Author completes front table and has loaded to Insite (intranet) or website 6. Author advises staff of new/revised procedure 7. Author considers what training is required (if any) and implements	listed in WHS 37: WHS Document Management Procedure – doc/16/2775	
SAFE OPERATING PROCEDURE	1. Drafted/reviewed for specific tasks or activity 2. Relevant stakeholders consulted 3. Consult WHS 37 – Document Management Procedure doc/16/2775 – for more detail	As above	Insite

6. RELATED PROCEDURES

WHS 37 – WHS Document Management Procedure - doc/16/2775

7. REVIEW OF FRAMEWORK

This Framework will be reviewed every three years or if deemed necessary by the Risk and Governance Officer.

8. ACCESS TO THE FRAMEWORK

The Policy and Procedure Framework is available for public inspection at the Customer Service Centre, at the Local Government Centre, 6 Dutton Road, Mount Barker, South Australia and on the Council's website www.mountbarker.sa.gov.au

9. FURTHER INFORMATION

For further information on this Policy, please contact:
Title: Ros McDougall, Risk & Governance Officer
Address: PO Box 54, Mount Barker
            South Australia, SA, 5251
Telephone: 8391 7231
Email: rmcdougall@mountbarker.sa.gov.au

Version	Position	Change	Date
1	Risk & Governance Officer	New Policy Framework	March 2018
2	Risk & Governance Officer	Revised Policy and Procedure Framework	May 2020

Appendices

Council Policy Template – doc/20/3944
Corporate Policy Template – doc/20/3945
Council Procedure Template – doc/20/3946
WHS SOP Procedure and other Templates – Fol/15/514

TITLE: << COUNCIL POLICY - NAME>>

MOUNT BARKER
DISTRICT COUNCIL

REFERENCE NUMBER:	<Trim Document Number>>
RESPONSIBLE OFFICER/ DEPARTMENT:	<<Insert>>
APPLICABLE LEGISLATION:	<<Local Government Act 1999>>
MOUNT BARKER 2035 – DISTRICT STRATEGIC PLAN:	Theme Goal
RELATED POLICIES:	• <<Policy A>> • <<Policy B>>
SUPPORTING PROCEDURES:	• <<SOP Name>> • <<SOP Name>>
PREVIOUS REVIEW DATES:	<<Insert>>
ENDORSED BY COUNCIL:	<<Insert>>
MINUTE RESOLUTION NUMBER:	<<Insert Date>>
NEXT REVIEW DATE:	<Insert Date>>

1.   PURPOSE

2.   SCOPE
This Policy is applicable to (to be completed)

3.   DEFINITIONS

4.   ROLES & RESPONSIBILITIES
Council:
• **TBA**

Chief Executive Officer:
- **TBA**

General Managers:
- **TBA**

Others:
- **TBA**

5. POLICY STATEMENT
<<Document Owner to determine>>

6. TRAINING / EDUCATION
Consider what training or education is required and how it will be delivered/implemented.

7. REVIEW
This Policy will be reviewed:
- (if a new Policy in 6 or 12 months and then)every three years; or
- the frequency dictated in legislation, or
- earlier in the event of changes to legislation or related Policies and Procedures or ;
- if deemed necessary by the <<Document Owner Title>>.

8. ACCESS TO THE POLICY
The Policy is available for public inspection at the Customer Service Centre, at the Local Government Centre, 6 Dutton Road, Mount Barker, South Australia and on the Council's website www.mountbarker.sa.gov.au.

9.FURTHER INFORMATION
For further information on this Policy, please contact:
Title: <<Document Owner Title>>
Address: PO Box 54, Mount Barker
South Australia, SA, 5251
Telephone: <<Document Owner Phone Number>>
Email: <<Document Owner Email Address>>

COUNCIL POLICY INSTRUCTIONS & TEMPLATE

** Please delete instructions once Policy has been drafted **

Purpose:	Sets out the elected Council's position, objectives, roles and responsibilities and is used to make decisions when enacting Council's strategies. Policies that are required to be presented to Council are those required by legislation, reflect a strategic direction, and any that have a direct impact or involve Council Members.
Focus:	External / Community
Detail:	High level statements of directions, relatively short and concise and do not include the detail of information that is normally found in a procedure. A maximum of 2-3 pages.
Consultation:	Undertaken with the Council, stakeholders and relevant staff. . Risk and Governance Officer to review. The community will also be consulted where required by legislation or as provided for in the Consultation Policy.
Initial Approval and Review:	New Policies to CGG for approval prior to formally present to Audit and Risk Committee or Council for Council Resolution. New Policies reviewed in 6 or 12 months (as determined or Council)
Review:	Is the responsibility of the Document Owner. Policies required by legislation will be reviewed as required by legislation and all others will be reviewed every 3 years. An email generated from Magiq will provide documents owners with a reminder of overdue Policies. .
Ongoing Approval	Following the review of a Council Policy by CGG the Policy must be presented to either the Audit and Risk Committee (if within its Terms of Reference) or direct to Council for adoption.
Access:	Council Policies are available: • On the Council website; • On the Council's Intranet site (Insite); and • At the Customer Service Centre for inspection and purchase by the public.
Template:	Doc/20/3944

TITLE: << CORPORATE POLICY - NAME>>

REFERENCE NUMBER:	<Trim Document Number>>
RESPONSIBLE OFFICER/ DEPARTMENT:	<<Insert>>
APPLICABLE LEGISLATION:	• <<Local Government Act 1999>>
MOUNT BARKER 2035 – DISTRICT STRATEGIC PLAN:	Theme Goal
RELATED POLICIES / CORPORATE POLICIES:	• <<Policy A>> • <<Policy B>>
SUPPORTING PROCEDURES:	• <<SOP Name>> • <<SOP Name>>
PREVIOUS CORPORATE POLICY DATE:	
ENDORSED BY CORPORATE GOVERNANCE GROUP	<<Insert Date>>
APPROVED BY CEO:	<<signature>>
NEXT REVIEW DATE:	<Insert Date>>

1. **PURPOSE**
   <<Two sentence max purpose statement>>

2. **CORPORATE COMMITMENT**
   The Corporate Governance Group and staff are committed to <<statement to be determined by Document Owner>>

3. **SCOPE**
   This Corporate Policy is applicable to all Mount Barker District Council employees <<information to be determined by Document Owner>>.

   <<Other Information to be added by the Document Owner>>

4. **DEFINITIONS**

5. ROLES & RESPONSIBILITIES
Chief Executive Officer:
- TBA

General Manager:
- TBA

Employees:
- TBA

6. CORPORATE POLICY STATEMENT
Document Owner to determine>>

7. TRAINING / EDUCATION
Consider what training or education is required and how it will be delivered.

8. REVIEW
This Corporate Policy will be reviewed (if a new Policy in 6 or 12 months and then) every three years; or
-earlier in the event of changes to legislation or related Policies and Procedures; or
- if deemed necessary by the <<Document Owner Title>>.

9. ACCESS TO THE CORPORATE POLICY
The Corporate Policy is available to staff via the Policies section of the Intranet.

10. FURTHER INFORMATION
For further information on this Corporate Policy please contact:
Title: <<Document Owner Title>>
Extension: <<Document Owner Phone Number>>
Email: <<Document Owner Email Address>>

CORPORATE POLICY INSTRUCTIONS & TEMPLATE

* Please delete instructions once the Corporate Policy has been drafted *

Purpose:	To set out the Corporate position, objectives, roles and responsibilities and is used to make corporate / internal decisions.
Focus:	Internal / Staff
Detail:	High level statements of directions, relatively short and concise and do not include the detail of information that is normally found in a Procedure. A maximum of 2-3 pages.
Consultation:	Relevant staff group to be consulted. If staff consultation required will occur for a minimum of two (2) weeks. Risk and Governance Officer to be consulted.
Initial Approval:	The Corporate Governance Group is required to endorse all Corporate Policies with the CEO to approve.
Review:	The review of Corporate Policy is the responsibility of the Document Owner. New Policies will be reviewed in 6 or 12 months as determined by CGG and then every three (3) years. An email generated from Magiq will provide documents owners with a reminder of overdue Corporate Policies.
Ongoing Approval:	Following the review of a Corporate Policy, if there have been significant amendments or new legislative provisions / requirements, the Corporate Policy must be represented to the Corporate Governance Group for endorsement and the CEO for approval. If the amendments are minor in nature and there are no new requirements, the Policy can be provided to the CEO for approval by the relevant General Manager
Access:	Corporate Policies are to be listed on Insite . Access to Corporate Policies may be provided to Council Members and the Community upon request and in consultation with the relevant General Manager.
Template:	Doc/20/3445

TITLE: <<PROCEDURE NAME>>

REFERENCE NUMBER:	<Trim Document Number>>
RESPONSIBLE OFFICER/ DEPARTMENT	<<Insert>>
APPLICABLE LEGISLATION:	• <<Local Government Act 1999>>
MOUNT BARKER 2035 - DISTRICT STRATEGIC PLAN:	Theme Goal
RELATED POLICIES / CORPORATE POLICY / PROCEDURE	• <<Policy A>> • <<Policy B>>
PREVIOUS PROCEDURE DATE:	•
APPROVED:	<<Insert Date>>
CEO SIGNATURE (IF ASSOCIATED WITH A COUNCIL POLICY OR IF SIGNIFICANT NUMBER OF STAFF AFFECTED) -	<signature>
NEXT REVIEW DATE:	<Insert Date>>

1. **PURPOSE**
   <<Two sentence max purpose statement>>

2. **PROCEDURE**
   <<Insert relevant procedure steps>>

2.1 Heading
   TBA

2.2 Next Heading
   TBA

3. **TRAINING / EDUCATION**
   Consider what training or education is required and how it will be delivered/implemented.

[Type here]

4. REVIEW

This Procedure will be reviewed (==if a new Procedure in 6 or 12 months and then==)every three years; or

- if aligned with a Policy at the time the policy is reviewed, or

- earlier in the event of changes to legislation earlier in the event of changes to legislation or related Policies and Procedures; or

- if deemed necessary by the ==<<Document Owner Title>>==.

5. ACCESS TO THE PROCEDURE

The Procedure is available to staff via the Policies section of the Intranet.

6. FURTHER INFORMATION

For further information on this Procedure, please contact:

Title: ==<<Document Owner Title>>==
Extension: ==<<Document Owner Phone Number>>==
Email: ==<<Document Owner Email Address>>==

**** Please delete instructions once the Procedure has been drafted ****

Purpose:	Procedures guide the implementation of a Council Policy or Corporate Policy.
Detail:	Procedures should be as detailed as necessary to clearly specify which staff/council members/public should do in each situation and may also be relevant to a Council Policy / Corporate Policy
Consultation:	Should be undertaken with <u>affected</u> staff. Risk and Governance Officer to review if policy affects a significant number of staff.
Initial Approval:	If a Procedure is associated with a Council Policy or affects a significant number of staff it will require a report to CGG and approval by the CEO. If otherwise the relevant Manager (or General Manager where required) is responsible for approving procedures .
	Procedures do not necessarily need to be adopted / endorsed by Council but can be presented for noting to either the Audit and Risk Committee (if relevant to its Terms of Reference) or to Council.
Review:	The review of Procedures is the responsibility of the Document Owner.
	Procedures should be reviewed in line with the review period for the supporting Council Policy / Corporate Policy or as required to ensure their appropriateness – at least every three years
Ongoing Approval:	All ongoing approvals following the review of a Procedure is at the discretion of the relevant Manager or General Manager. If a Procedure is associated with a Council Policy or affects a significant number of staff it will require a report to CGG and approval by the CEO.
Access:	New or revised Procedures are to be advised on Insite and loaded under Policies & Procedures .
	Access to Procedures may be provided to Council Members and the Community upon request and in consultation with the relevant General Manager.
Template:	Doc/20/3946

Work Health and Safety
Procedure or Policy

TITLE:

NUMBER: WHS:

TRIM Ref:

	Signature	Date
Adopted by WHS Committee		
Endorsed by CGG and Approved by CEO		
Issued	TBA	
Next Review	TBC	
Responsible Position		
Key Stakeholders	• Corporate Governance Group	

This procedure is to be used in conjunction with any operating manuals, standards, legislation or risk assessments relevant to the task.

JOB / TASK:	SOP developed by:	Date:
Department:	Supervisor (Print & sign name):	Date:

PART 2: MONITORING, TRAINING & INDUCTION REQUIREMENTS

MONITORING & TRAINING

- All persons involved in this task must have this Standard Operating Procedure communicated to them prior to work commencing

- Regular inspections & observations will be conducted by the supervisor to ensure Standard Operating Procedure is being complied with.

- Toolbox talks will be undertaken to identify, control and communicate additional hazards.

- If an incident or near miss occurs, an Injury / Incident Report must be completed which will include review of the relevant Standard Operation Procedure communication of changes.

WORKER INDUCTION RECORD *Worker signs that they have been involved in the formulation of SOP and accept the proposed work method and associated responsibilities.*

Surname	First Name	Job Title	Signature	Date

SPECIAL COMMENTS:

WHAT TO DO STEPS IN ORDER OF PERFORMANCE	HAZARDS APPLICABLE TO EACH STEP	HOW TO DO IT IDENTIFY EQUIPMENT, SAFETY, QUALITY AND PERFORMANCE REQUIREMENTS	PPE

REVIEW HISTORY

Document History:	Version No:	Issue Date:	Description of Change:

WORKFLOW: NEW OR REVISED COUNCIL OR CORPORATE POLICY

Consider if Policy required and whether a Council or Corporate Policy / Procedure (ref to 3. Defintions)

Council Policy/Procedure

Council Policy template **doc/20/3944.**
Procedure template – **doc/20/3926**
Revised Policies / Procedures should include track changes

Corporate Policy/Procedure

Corporate Policy template **doc/20/3945.**
Procedure template – **doc/20/3926**
Revised Policies should include track changes

Approval from your General Manager

Consult other relevant staff &
if affects a significant number of staff consult Risk &Governance Officer

Obtain CGG approval to proceed to either Audit & Risk Committee or Council for endorsement

Minor changes to CEO for approval.
All other Corporate Policies and Procedures (that affect a significant number of staff) to CGG for endorsement and CEO's approval

If supported at CGG write a report to either Audit and Risk Committee or Council

If approved - finalise details on the Policy or Procedure and request departmental Administration Officer advise of new policy on Insite and load to Insite or website if a Council Policy

Implement Policy – education and training if required