

DOCUMENT TYPE	Policy
TITLE	DOCUMENT MANAGEMENT
NUMBER:	POL-1023

PURPOSE

This Policy establishes the governance framework for the development, approval, amendment, review and repeal of Council Policies and Directives, and provides guidance for the management of associated Shire documents, in accordance with the *Local Government Act 1995* and associated regulations.

SCOPE

This Policy applies to the development, approval, amendment, review and repeal of Council Policies and Administrative Directives of the Shire of Wyndham East Kimberley.

It establishes governance requirements for the management of formal Shire Documents recorded in *REG-1000 Shire Document Register*.

This Policy does not govern the statutory process for making or amending Local Laws, nor does it apply to contracts, project documentation, routine correspondence, working documents or other operational records that do not establish governance direction.

DEFINITIONS

Shire Documents means formal governance and operational instruments adopted or issued by the Shire to guide decision-making, compliance and service delivery.

These include Council Policies, Directives, Strategies, Plans, Procedures, Work Instructions, Frameworks, Terms of Reference, Local Laws, Registers and formal Agreements.

Routine correspondence, drafts and informal administrative documents are excluded.

Policy refers to a Council policy adopted by Council under section 2.7(2)(b) of the *Local Government Act 1995* that establishes the strategic or statutory position of Council.

Policies apply to Council and guide the Chief Executive Officer and Administration in implementing Council's decisions and exercising delegated authority and must not encroach on the CEO's responsibilities under section 5.41 of the Act.

Local Planning Policy outlines the adopted position of Council on planning matters, either expanding on the requirements of the Local Planning Scheme or providing direction where the Scheme enables the exercise of discretion.

Local Planning Policies guide decision-making by Council and authorised decision-makers and must be prepared, amended and revoked in accordance with the *Planning and Development (Local Planning Schemes) Regulations 2015*.

Directives are an internal governance instrument issued by the Chief Executive Officer, consistent with section 5.41 of the *Local Government Act 1995*, to regulate administrative and operational matters and support implementation of Council policies and decisions.

Directives apply to employees and, where relevant, contractors and volunteers.

Procedures are the second level of a Policy or Directive and are more detailed than a Policy or Directive, describing the 'who does what and when' (in sequence order).

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

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

Work Instructions are detailed instructions on 'how' to accomplish a specific job, task or assignment. A work instruction will include specific information and/or step by step instructions on how to complete a specific task or role ie. receipting a payment.

Clean Version means a version of a document that incorporates all proposed amendments with no tracked changes.

POLICY STATEMENTS

Section 2.7(2)(b) of the *Local Government Act 1995* provides that a function of Council is to determine the policies of the local government.

Section 5.41 of the Act provides that the Chief Executive Officer is responsible for the day-to-day operations of the local government and for implementing Council decisions. Section 5.42 enables the CEO to delegate powers and duties in accordance with the Act.

Accordingly, Council adopts Policies to establish strategic and statutory direction, and the CEO issues Directives to regulate administrative and operational matters consistent with those statutory responsibilities.

In managing Shire Documents, the Shire must also comply with the *Local Government (Administration) Regulations 1996* (including Regulation 10) and the *State Records Act 2000*, ensuring proper record keeping, version control and accountability.

Policies, Directives and their supporting Procedures and Work Instructions provide a structured framework for consistent decision-making, compliance and risk management across the organisation.

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



Shire documents include but are not limited to:

- Policy
- Directives
- Procedures
- Work Instructions
- Local Laws
- Memorandum of Understanding
- Plans
- Strategies
- Frameworks
- Terms of Reference
- Forms (internal and external)
- Registers

Although this policy does not apply to some of the operational/administration documents named above, it is important that this policy recognises the effect policies have on these documents in functionality and application of policy. Good management of Shire Documents is imperative to ensure Shire Administration have access to up to date and relevant information when making decisions in line with Legislation, Policy and Directives.

Document Register

All Shire documents used by the Administration are to be recorded on the *REG-1000 Shire Document Register* which is maintained by Shire Administration. The Shire's Document Register is to be reviewed regularly by Shire Administration to determine review requirements, maintain version control and identify responsible decision-makers.

REG-1000 is the single source of truth for all approved Shire Documents.

The Office of the CEO is the custodian of the Register and is responsible for maintaining version control, review dates and document status.

Only approved versions of documents recorded in the Register may be published, circulated or relied upon. Rescinded or Superseded documents must be archived in accordance with the *State Records Act 2000* and the Shire's Recordkeeping Plan.

Approval Requirement of Shire Documents

Council Policies are adopted, amended and repealed by resolution of Council.

Directives are approved, amended and repealed by the Chief Executive Officer in accordance with section 5.41 of the *Local Government Act 1995*.

The below table outlines the approver for Shire documents:

Classification	Description	Example	Approval Authority
Council Policy	A strategic or statutory position adopted by Council that establishes governance direction and guides decision-making by Council, the Chief Executive Officer and Administration.	POL-1021 Work Health and Safety	Council Resolution
Local Planning Policy	A policy adopted under the Planning and Development (Local Planning Schemes) Regulations that provides guidance on planning matters and the application of Local Planning Scheme No. 9 where discretion exists.	LPP 11 Workforce Accommodation	Council Resolution
Directive	An internal governance instrument issued by the Chief Executive Officer to regulate administrative and operational matters and implement Council policies and decisions.	DIR-2001 Issue and Use of Corporate Credit Cards	CEO
Procedure	A document that defines internal business rules and responsibilities by outlining who performs tasks and when they occur in a process or sequence.	PRO-1000 Grievances	Director

Work Instruction	Detailed instructions that explain how to perform a specific task, activity or job, usually through step-by-step guidance.	WI-2031 Records Disposal Program	Manager
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Consultation

Shire Documents will be developed through appropriate consultation commensurate with their scope, impact and legislative requirements.

Consultation may include:

Internal consultation with relevant Directorates, subject matter experts and Governance to ensure operational feasibility and compliance;

Community consultation where a document materially affects service levels, community expectations, fees, rates or public access to facilities;

Statutory consultation where required under legislation, including but not limited to the *Local Government Act 1995*, *Planning and Development Act 2005*, and associated Regulations.

Where legislation prescribes a consultation process – including for Local Planning Policies and Local Laws – that statutory process must be followed.

POLICY AND DIRECTIVE DEVELOPMENT, REVIEW AND REPEAL

Each policy or directive developed or reviewed shall be assessed against the below guiding principles.

A policy or directive may be developed where there is either complexity or lack of clarity in one or a combination of the following circumstances:

- legislative requirement
- new or changing industry and organisational standards
- to meet the Shire's strategic objectives
- to meet the community's need or expectation
- to provide advocacy on issues that Council considers to be significant
- as a result of a Council resolution

Policies and directives should result in:

- clarity and consistency in decision making
- improved efficiency and effectiveness
- improved customer and community outcomes

A policy or directive is not to be initiated if it does not address the circumstances or will not achieve the results listed above.

Develop New and Major Amendments

All new policy or directive and major amendments require the Administration to provide a comprehensive report including the following information to Council (for policies) or the CEO (for directives) for consideration:

- Any relevant background information
- How the policy meets community need
- Statutory compliance obligations
- Industry standards, codes of practice or guidelines
- The scope and purpose of proposed policy

- Internal and External consultation required (if applicable)
- Any resource and budget implications
- Risk implications arising from the proposed policy

Where changes substantively change the intent of the policy, it is recommended to rescind the existing policy and adopt a new one with the above considerations.

Review of Existing

Review of existing policy or directive requires the Administration to provide a report including the following information to Council (for policies) or the CEO (for directives) for consideration:

- As per items listed for a new policy; and
- A tracked changes version of the reviewed policy clearly showing all changes and a 'clean version' of the changed policy that incorporates the proposed changes; and
- Any applicable options to address the change/s i.e. to meet best practice, change in legislation or community need

Minor Amendments to Existing

Where amendments to policy or directive 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 CEO (without policies being referred 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
- Changes to Shire branding/format requirements (the look of a document)

Minor amendments must not change the intent, scope, operation or policy position established by Council.

Minor amendments approved by the Chief Executive Officer under this provision must be recorded in the Amendment History of the document and the relevant Shire document registers to maintain appropriate version control and governance oversight.

Repeal

A Council Policy remains in force until repealed by resolution of Council.

A scheduled review date does not cause a Policy or Directive to lapse unless Council or the Chief Executive Officer resolves to repeal or replace the document.

Council must resolve to repeal a Policy unless the Policy expressly provides that it ceases to operate on a specified date.

Where a Policy becomes inconsistent with, or is superseded by legislative change, it has no effect to the extent of that inconsistency and should be reviewed or repealed as soon as practicable.

POLICY OR DIRECTIVE CONTENT

With the exception of format requirements prescribed under legislation or an Australian Standard, the following subheadings are to be used for Council adopted Policies and Directives:

- Purpose
- Definitions
- Policy Statements
- Explanatory Comments (if applicable)
- Appendices (if applicable)

Policies and Directives must align with the Shire’s Strategic Community Plan, Corporate Business Plan, adopted risk appetite and tolerance, and any relevant delegations recorded in REG-1001 Delegations Register.

Where matters involve material risk or governance implications, consultation with the Audit and Risk Committee should be undertaken where appropriate.

Document control information must be included at the end of the document in the following format:

Responsible Directorate			
Responsible Officer			
Statutory References		<i>References to be in Italics</i>	
Related Documents			
Amendment History (Adoption and last 3 amendments)			
Version	Date Issued - Resolution Number	Item #	Description of Change
Date of Next Review			

REVIEW TIMEFRAMES

Policies and Directives must be reviewed to ensure they remain current, compliant and aligned with the Shire’s strategic and governance framework.

Unless a shorter period is prescribed by legislation, the maximum review term is:

- Five (5) years for Council Policies;
- Three (3) years for Administrative Directives.

Policies that materially affect the role, responsibilities or governance framework of Elected Members are to be scheduled for review within twelve (12) months following a local government ordinary election, to enable the incoming Council to consider and reaffirm its governance settings.

A review due date does not cause a Policy or Directive to lapse.

Other Shire Documents, including Strategies, Plans, Frameworks, Procedures and Work Instructions, are to be reviewed periodically to ensure they remain current and effective. Review frequency is to be determined having regard to legislative requirements, strategic planning cycles and operational need.

Where such documents give effect to, or are directly linked to, a Council Policy or Directive, they are to be reviewed in conjunction with, or as soon as practicable following, any substantive amendment to that Policy or Directive.

LOCAL LAWS

Local Laws are made, amended and repealed in accordance with Part 3 Division 2 of the *Local Government Act 1995* and any other applicable legislation.

This Policy does not govern the statutory process for making or amending a Local Law.

Approved Local Laws must be recorded in REG-1000 Shire Document Register and managed in accordance with the Shire's document control and recordkeeping requirements.

DOCUMENT AND VERSION CONTROL

Responsible Directorate	Office of the CEO		
Responsible Officer	Executive Officer to the CEO		
Statutory References	<i>Local Government Act 1995</i> <i>Section 2.7</i> <i>Section 5.41</i> <i>Section 5.42</i> <i>State Records Act 2000</i> <i>Local Government (Administration) Regulations 1996</i> <i>Regulation 10</i>		
Related Documents	REG-1000 Shire Document Register REG-1001 Delegations Register REG-1004 Decision and Minute Number Register WI-1017 Staff Guide to Document Review Process		
Amendment History (Adoption and last three amendments)			
Version	Date Issued - Resolution Number	Item #	Description of Change
1.0	TBA	--	TBA
Date of Next Review	March 2029		