

1. Purpose & Scope

- 1.1 This policy establishes the framework for the management of policies, directives and supporting documents at Charters Towers Regional Council (Council).
- 1.2 This Framework establishes a hierarchy and provides guidance for the development, classification, and categorisation of policy documents for Council. In addition to defining the appropriate levels of policy and outlining the resultant area of authority and responsibility, this document (in conjunction with the supporting policy development documents) aims to provide a framework that will encourage consistency, control, clarity, and quality in the development, approval and review processes associated with a policy.
- 1.3 Council Policy, as a general rule, is defined by legislative requirements, internal and operational requirements, or implementation of processes and is divided into categories as follows:

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| Statutory Policy | Statutory requirement Internal/External Focus |
| Strategic Policy | Internal drivers with an external focus. Includes Frameworks. |
| Administrative Directive | Where relevant, aligns with applicable Policy Internal Focus, relating to organisational wide direction |
| Policy Supporting Documents | Align with applicable Policy Internal Focus Includes procedures that relate to one Department, work instructions, forms, templates, guidelines, checklists etc. |

2. Commencement of Policy

- 2.1 This Policy will commence from 17 May 2023.

3. Application Of Policy

- 3.1 This Policy applies to all staff and/or contractors who develop, write, and implement policy direction for Council.
- 3.2 This Policy sets out the framework, categorisation, drafting, consultation, approval process, implementation and review of the various policies etc. required by Council to ensure good governance processes.
- 3.3 The diagram below shows the hierarchy of policy documents within this Policy Framework.



4. Definitions

| Term | Definition |
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| Administrative Directive | An Administrative Directive is internal focused and organisational wide. It prescribes courses of actions that, in the CEO's judgement, must be followed in order to implement policy, to ensure the efficient management of Council, or to meet legal or regulatory compliance. |
| Categorisation | Selection of the appropriate category of policy, according to its level, content, and purpose. The category allocated by the Policy Control Officer will either be Council Policy or Administrative Directive. |
| CEO | Chief Executive Officer of the Charters Towers Regional Council. |
| Classification | Allocation of the appropriate classification of policy, according to the content and limitations of the policy. Classifications for policy will be Statutory, Strategic or Administrative Directive. |
| Consultation | Consultation is the compulsory process of meeting with identified, relevant stakeholders, prior to, and during development of any Council Policy or Administrative Directive. |
| Council | Charters Towers Regional Council |
| Council Policy | A general statement outlining strategic directions and/or adherence to statutory or other corporate requirements, which usually has an external focus. A Council Policy directs decision-making in areas affected by the policy. A Council Policy may also include a Framework, Strategy or Plan. |
| ELT | Executive Leadership Team of the Charters Towers Regional Council. |
| Endorsement | Agreement to the Council Policy, Administrative Directive or Policy Supporting Documents by the appropriate authority, prior to receiving formal approval by the Policy Approver. |
| Formal approval | The official ratifying of a Policy, Administrative Directive or Policy Supporting Document by an authorised approver. |
| Policy Approver | The Council or person who provides endorsement or final approval of the Policy, Administrative Directive or Policy Supporting Documents. |
| Policy Author | The Officer responsible for drafting a Council Policy, Administrative Directive or Policy Supporting Document. |
| Policy Control Officer | The Policy Control Officer is the Officer responsible for performing final checks on all Policies prior to submission for approval, once the policy has been developed, or reviewed. Entry into the Corporate Register (ECM - QMS Index) and notification to key stakeholders. The Policy Control Officer is an Officer within the department of the Office of the Chief Executive Officer (OCEO). |

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| Policy Development | <p>The various stages from concept to implementation is broadly described as:</p> <ul style="list-style-type: none"> (i) identification of a policy need or need to review existing policies; (ii) development of the policy document; (iii) consideration and approval of the policy; (iv) implementation of the policy; and (v) review cycle of the policy. |
| Policy Supporting Document | <p>Documents that are internal focused. A Policy Supporting Document should detail and discuss the methods, actions and steps required to support Council Policies or Administrative Directives. These documents provide 'how to' instructions and may outline responsibilities for task achievement, contain timelines, flowcharts, list documentation, and approvals required etc. Policy Supporting Documents may consist of work instructions, forms, templates, checklist, signs, guidelines, drawings, and registers.</p> |
| Responsible Position | <p>Responsible Position is a position within Council that has functional responsibility and accountability for a policy. Specific duties include:</p> <ul style="list-style-type: none"> • manage implementation and compliance with the policy/procedure/guideline (document); • monitor for continuing relevance; • propose any amendments; • ensure a review is carried out at least every 2 years; • act as the primary point of contact. |

5. Policy Provisions

5.1 Content

The content of Policies, Administrative Directives and Policy Supporting Documents will:

- ensure compliance with legislative and industry standards;
- not duplicate legislation;
- be consistent with Council's organisational and strategic objectives;
- clearly articulate expectations and requirements; and
- clearly assign responsibility for actions and outcomes.

5.2 Process

The process of development, deployment and review of all Policies, Administrative Directives and Policy Supporting Documents will:

- be appropriately consultative;
- be directed by the principles of continuous improvement;
- be informed by legislation requirements, governance, and Council's Corporate Planning documents; and
- be appropriately communicated.

6. Principles

6.1 Compliance

Policies must comply with the relevant principles set out in this Policy, all relevant legislation, Council resolutions, Council's Corporate Planning documents, and Council's Style Guide.

6.2 Consistency

Terminology used in the policy should reflect that used in the legislation, if appropriate. Use of the prescribed Policy Template will ensure consistency of format, content, and process.

6.3 Clarity

Policy owners shall consider the following in the development of policy:

- **Clarity of approval:** All policies will clearly state where responsibility for final approval lies, and when approval was formally given.
- **Clarity of writing:** All policy documents will contain plain, clear, concise English, enabling a wide range of users to understand the content. Where prescribed terminology is used (e.g. extracted from legislation) a clear description of the terminology will be contained in the Definitions section of the policy document, to allow cross-referencing and comprehension.

6.4 Policy Development

Policies and Administrative Guidelines will be developed in five stages:

1. **Needs Identification:** This stage includes identifying the matter to be addressed, seeking authority to proceed, and selection of the appropriate policy level which will contribute to the achievement of Council's corporate and strategic objectives.
2. **Policy Development:** This stage incorporates the identification of appropriate stakeholders, commencement of the consultation process, gathering relevant background information, and authoring of the policy document, as well as incorporating feedback.
3. **Policy Endorsement and Approval:** This stage includes notifying the appropriate officers, or Council, of the requirement to evaluate the policy document, and submitting the policy for consideration and approval. Generally, it will include the Management Leadership Team (MLT), Executive Leadership Team (ELT) consideration and where appropriate, Councillor workshops and Council endorsement.
4. **Policy Implementation:** This is the final stage in the policy process but is ongoing. It includes such activities as activating the policy, notification, distribution, awareness, and education.
5. **Policy Review:** During the policy drafting stage, consideration will be given as to appropriate timelines for reviewing the policy. A review timeline will be incorporated into the policy document, which will commence once implementation has occurred. Reviews will be undertaken by the relevant Policy Reviewer and submitted to Council or Executive Leadership Team for approval (as required).

6.5 Categorisation and Classification

When formulating policy, the definitions listed in section 4 will provide the information required to categorise the proposed policy. Classifications will be ascertained from the predefined list after categorisation. Categories and classifications are obtained from the Office of the Chief Executive Officer.

6.6 Approval Authority

The approval process is as follows:

| Classification | Approval |
|--------------------------------------|--|
| Council Policy Statutory Strategic | <ol style="list-style-type: none"> 1. Endorsed by ELT 2. Adopted by Council resolution |
| Administrative Directive | <ol style="list-style-type: none"> 1. Endorsed by ELT 2. Approved by Chief Executive Officer |

| | |
|-----------------------------|---|
| Policy Supporting Documents | <p>Depending on the purpose and/or impact</p> <ol style="list-style-type: none"> 1. Coordinator (including positions above) of the relevant work area; and 2. Executive Manager of the relevant Directorate; or, <ol style="list-style-type: none"> 1. Endorsed/Approved by ELT. |
|-----------------------------|---|

6.7 **Responsible Officer**

An owner will be designated for all Policies, Administrative Directives and Policy Supporting Documents and will bear responsibility for regular review of the policy and for incorporating required changes as well as assessment to ascertain the following:

- Has the intent of the document changed?
- Is the intent clearly expressed?
- Is the policy still relevant and has it been affected by any changes in legislation or similar?
- Do associated forms or procedures conform to the objectives of the policy?
- What stakeholders need to be notified/educated subsequent to the revision?
- Is the policy/procedure embedded in business processes as 'business as usual'?

6.8 **Document Administration**

The Corporate Register and reviews will be administered through the OCEO.

Once a governing document has been approved by the relevant approval authority, and evidence of approval provided to the OCEO, the final version will be prepared for publication, which will include but not be limited to:

- removal of the draft watermark;
- updating document with numbering convention and other relevant approval information;
- final quality assurance check;
- updating the Corporate Register; and
- publishing on Council's systems (intranet, internet, and ECM) as PDF (responsibility of the Responsible Position).

Any education or training required on the governing document is the responsibility of the Responsible Position and must be considered when developing and submitting the document for approval, including any cost implications.

All approved documents will be published to Council's intranet (The Loop) and electronic records management system (ECM). Affected employees without access to ECM or the intranet will be notified by their People Manager when new Policies, Administrative Guidelines or Policy Supporting Documents are approved. Printed copies may be obtained upon request from supervisors. Additionally, a Council Policy will also be made available on Council's website. As required, printed copies of individual Council Policy documents will be made available on a cost-recovery basis.

Council's Media Team will be responsible for publishing documents. All approved documents will remain in force unless:

- formally repealed by the relevant approval authority (i.e. no longer required), or
- superseded by an updated version of the document:
 - this also could include where a governing document has been consolidated or renamed – which would require the previously named document/version to be repealed.

Details of repealed or superseded versions will be maintained by the OCEO in the Corporate Register.

6.9 Relationship/Impact On Other Policies

It is the responsibility of the Policy Author to assess any areas of overlap, contradiction, or integration with other existing or draft documentation including (Corporate Plan, Strategies, Plans and Policies) and to resolve these issues.

Additionally, the Policy Control Officer will ensure the inclusion of references to the document category, classification, and related document control information, such as the policy status, approval date and review information.

6.10 Policy Numbering

All policy numbering will reflect the category of policy in accordance with the following guidance:

| Policy Type | Numbering |
|-----------------------------------|--|
| Council Statutory Policy | S |
| Council Strategic Policy | STRAT |
| Administrative Directive | D |
| Policy Supporting Documents (PSD) | T = Template F = Form P = Procedures/Processes R = Register |

OCEO will provide numbers for all new Policies, Administrative Guidelines and Policy Supporting Documents.

6.11 Policy Template

In addition to normal writing conventions, Council Policies (excluding Planning Policy, Local Laws and Subordinate Local Laws) must be drafted using the designated templates, and in accordance with Council's Style Guide.

6.12 Policy Review

Each governing document must be reviewed at a minimum every two (2) years. Formal review may be undertaken sooner if required.

In some cases, Council has a legislative obligation to review a governing document annually.

All reviews will be identified and managed by the OCEO through the Corporate Register.

Departments are encouraged to undertake desktop reviews periodically to ensure that Council's governing documents are up-to-date and reflect best practice.

Approval for reviewed documents is as required by this Framework, with the exception of changes that are identified as 'minor amendments' as per below.

Minor Amendments to Existing Governing Documents

Where amendments are required for any of the reasons listed below, provided the amendments do not alter the substantive operations of the Policy or Administrative Directive, the amendments can be approved by the Executive Services Manager without referral to Council:

- Changes in legislative references;
- Changes in Council position titles;
- Changes in administrative arrangements of State and Federal Governments;

7. Variations

7.1 CTRC reserves the right to vary, replace or terminate this Policy from time to time.

Associated Documents

- R0003 QMS Corporate Register
- T0005 Statutory Policy Template
- T0259 Strategic Policy Template
- T0097 Administrative Directive Template
- T0006 Procedure/Process Template
- T0096 External Form Template
- T0004 Internal Form Template
- [Local Government Act 2009](#)
- [Local Government Regulation 2012](#)

The document is to be reviewed upon changes to relevant legislation, or every two years if no changes have been required to be enacted.

| Document Review | | | |
|--------------------------------|-------------|---------------------------|----------------------------|
| Date Adopted by Council | 17 May 2023 | Council Resolution | 3627 |
| Date Adopted by ELT | | Next Review Date | September 2026 |
| ECM No. | 882545 | Document Contact | Executive Services Manager |



Appendix 1:

Policy Framework Model Flowchart

