

1. Objective

Policies and procedures help the City of Karratha make decisions consistently and complete work in a clear, accountable way.

This procedure:

1. sets a consistent process for developing, reviewing and approving all City policies and procedures
2. makes sure documents are in the right format, current, and easy to find
3. helps staff understand what should be included in policies and procedures and how they are categorised

2. Scope

This procedure applies to all policies and procedures of the City of Karratha, including with the exception of Local Planning Policies, except to the extent that this procedure differs from the requirements of the *Planning and Development (Local Planning Scheme) Regulations 2015*, in which case the Regulations take precedence.

Definitions

| Term | Definition |
|---------------------------|--|
| City | City of Karratha. |
| Community | Everyone in the district, including local groups and people affected by Council decisions, services and places. |
| Department | A major functional area of the organisation led by a manager or director. |
| Policy | A formal statement that sets out the City's position on an issue, why that position exists, and the principles that guide decision-making. |
| Operational Policy | An internal policy that provides operational/administrative direction and is approved by the CEO. |
| Procedure | Instructions that explain how a policy (or a standalone process) is carried out day-to-day. |
| CEO Instruction | A written direction from the CEO that provides clear, timely instructions on urgent matters. |
| ELT | Executive Leadership Team. |
| EMG | Executive Management Group. |
| Recategorisation | Changing a document from one category to another after it has been adopted/approved |
| Register | The Policy and Procedure Register maintained by Governance. |
| Revoke | Formally removing a policy/procedure so it is no longer in force. |

| | |
|------------------------|---|
| Process Manager | A process-mapping tool used by the City to document, manage and communicate operational workflows and administrative processes. Process Manager describes step-by-step activities, roles and responsibilities, and may be used instead of, or to support, a formal procedure where the process is straightforward and administrative in nature. |
|------------------------|---|

3. Policy Structure

3.1 The City must comply with legislation and regulations, and may also make Local Laws. Policies and procedures help the City:

- Manage internal operations;
- Meet legal obligation; and
- Manage risk and ensure consistent practice.

The City's policy framework is structured as a hierarchy (as shown in figure 1).

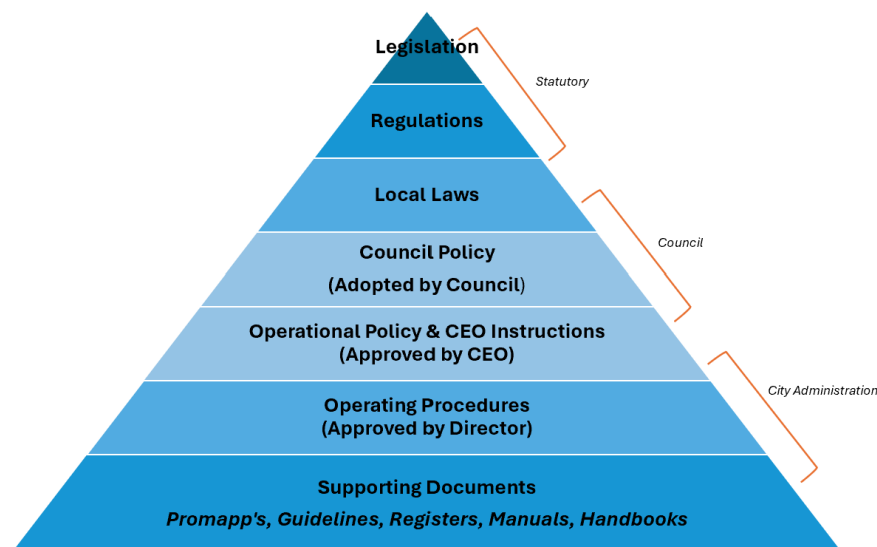


Figure 1 – CoK Policy Structure

Policies belong to one of three categories listed below:

| Category | | Type of Policy |
|------------------|---|----------------------------------|
| Council Policy | 1 | Statutory/Regulatory/Legislative |
| | 2 | Strategic |
| Operating Policy | 3 | Operational |

**Local Planning Policies not included above*

***Procedures generally fall under Category 3.*

4. Categorisation

CATEGORY 1 – STATUTORY/REGULATORY/LEGISLATIVE

4.1 Category 1 policies are required by legislation and must be adopted by Council resolution. As a general rule, **Category 1** policies should be publicly exhibited before Council adopts them.

Examples include:

- Code of Conduct
- Councillor Fees, Allowances & Reimbursements
- Investment Policy

Any amendments must comply with legislation and be adopted by Council.

CATEGORY 2 – STRATEGIC

4.2 **Category 2** policies are not required by legislation, but they formally state Council's position or direction on an issue. They are adopted by Council resolution and may apply to Councillors, staff, the public, and other stakeholders.

Category 2 policies can only be amended, revoked, or recategorised by Council resolution.

Examples include:

- Public Art Policy
- Supported Accommodation Scheme Policy

CATEGORY 3 – OPERATIONAL POLICIES & CEO INSTRUCTIONS

4.3 **Category 3** operational policies are approved by the CEO. Under section 5.41 of the Act (and Council's delegation to the CEO), the CEO is authorised to deal with these matters.

Once approved, a **Category 3** operational policy should only be amended, revoked, or recategorised with:

- support from ELT, and
- approval by the CEO, subject to clauses 7.1–7.2 in this procedure.

Procedures

4.4 Procedures generally fall under Category 3 and are approved by the relevant ELT member.

CEO Instructions

4.5 The CEO may issue a CEO Instruction when immediate direction is required. This is used to respond quickly to emerging issues, changing circumstances, or urgent operational requirements, especially when a policy/procedure does not yet exist, needs temporary support, or needs clarification. CEO Instructions remain in force until they are amended, replaced, or revoked by the CEO.

5 Development and review of policies and procedures

- 5.1 To ensure consistency, City templates must be used for all policies and procedures. The templates can be adapted as required for other policy and procedure document types such as codes and guidelines. Templates can be found on the intranet under documents.

**Local Planning Policies have a different template to Council Policies*

- 5.2 Before developing a procedure, the relevant department should consider whether a process map may suffice instead. This might be the case, for example, where a process is straightforward and strictly administrative in nature.
- 5.3 Before reviewing an existing policy or procedure, officers should request the current adopted version from Governance to ensure amendments are made to the latest document. Amended documents with track changes should be provided to Governance in Microsoft Word only.
- 5.4 All new or amended policies and procedures must be reviewed by Governance prior to being presented to ELT.
- 5.5 Consultation gives key stakeholders a genuine opportunity to contribute and provide feedback. Internal consultation (included consultation with MG) must be completed before the policy/procedure is presented to ELT and before Governance review, and documented in the review material. For Category 1 and 2 policies, external consultation occurs only after Council endorses the draft for engagement, and must be done **in consultation with Council's Engagement Team**.
- 5.6 Local Planning Policies follow a separate statutory framework and approval process under planning legislation; however, both internal and community consultation are still required to ensure transparency and legislative compliance.
- 5.7 After consultation and Governance review, and once approved by the relevant Manager, the Manager must prepare an ELT report (**using the ELT policy report template**) and submit it with the policy or procedure to the relevant Director for new or amended documents.
- 5.8 The Director will review the report and policy, provide any feedback and, when satisfied, authorise the report and policy or procedure to be presented to ELT for consideration, it is the responsibility of the manager to request Governance put it on the next ELT quarterly Policy Review meeting agenda.
- 5.9 ELT will consider policies or procedures and may make the following decisions as appropriate:
- That a policy be specified as Category 1, 2 or 3
 - That a Category 1 or 2 policy supported by ELT, approved by the CEO and submitted to Council for adoption
 - That a Category 3 policy or procedure be supported by ELT and approved by the CEO

- d. That a policy or procedure be referred to Council's Audit, Risk and Improvement Committee for feedback
- e. That a policy or procedure be submitted to a specified team, internal committee, or other group or entity, for comment or noting
- f. That a Category 1 policy or procedure be submitted to Council for the purpose of being revoked or recategorised where it is no longer legally required
- g. That a Category 2 policy or procedure be submitted to Council for the purpose of being revoked or recategorised
- h. That a Category 3 policy or procedure be revoked or submitted to Council for recategorization
- i. That a policy or procedure be referred back to the responsible Manager or Director for further review and resubmitted to ELT within two months.

Any ELT-requested consultation or further review must be completed within two months of first presenting the policy/procedure to ELT, and Governance will record the request in the Register for monitoring and tracking.

If material feedback is received, the relevant Director must submit an additional report to ELT. ELT may give in-principle support pending out-of-session responses to clarification questions.

For Category 1 or 2 policies, the relevant Manager must prepare a Council report as soon as practicable after ELT approval, unless clause 7.2 applies.

6 Minor amendments or no changes

- 6.1 If, after being reviewed by the relevant Manager, an Operational Policy or procedure requires no changes, the policy is to be emailed to Governance by the relevant Manager, who will note their approval. The Register will be updated along with the intranet, the website and/or Councillor Portal and the document will be allocated a new review date. Governance is authorised to accept these notifications without further approval.
- 6.2 Subject to any relevant statutory or Policy requirements for community engagement, Governance is authorised to accept, without further approval, amendments to existing policies or procedures within all three categories including the correction of minor errors, legislative changes, typographical and stylistic amendments, revised job titles and department/directorate names as a result of a staff restructure, additions or amendments of clarifications and explanations, and changed processes. These amendments must be approved by the Governance Manager and must not materially alter the general meaning, purpose or scope of the document.
- 6.3 A report to ELT must be prepared outlining the minor amendments and attaching a tracked changes version of the revised policy or procedure for approval. To ensure consistency, an ELT **policy report template** has been created and must be used when presenting all policies or procedures to ELT.

7 Revoke or recategorisation

- 7.1 Where it is proposed to revoke or re-categorise a policy or procedure, the reasons for the proposed revocation or recategorisation must be sent to Governance for inclusion in an ELT report.
- 7.2 If ELT supports and the CEO approves the revocation and/or recategorisation and the policy or procedure is Category 3, Governance will finalise the document and update the necessary records and systems.
- 7.3 If ELT supports and the CEO approves the revocation and/or recategorisation and the policy is Category 1 or 2, Governance will prepare a Council report. Once approved by Council, Governance will finalise the document and update the necessary records and systems.

8 Policy and procedure register

- 8.1 Once a policy or procedure has been adopted, revoked, or recategorised by either Council or CEO it will be updated on the Register maintained by the Governance team.
- 8.2 After Governance is notified of a new policy or procedure, it is added to the Register. The relevant Manager proposes a completion date to the Director for endorsement, then advises Governance of the endorsed date for Register tracking and monitoring.
- 8.3 The responsible manager must advise Governance of any change to an existing 'agreed date for completion' and the reason for the change will be noted in the Policy Register for consideration by ELT and approval by the CEO.
- 8.4 Governance will prepare a quarterly ELT report attaching a version of the Register showing documents with a new or revised 'agreed date for completion' and all overdue documents and indicating which 'agreed dates for completion' have been added or changed.
- 8.5 Only one change of an 'agreed date for completion' will generally be granted during each document's review cycle. Governance will monitor this and advise Directors as necessary. If the 'agreed date for completion' passes, this will remain highlighted on the Register until the document is completed.
- 8.6 To ensure that the policy development and revision process stays on track, the Register will be reported to Managers monthly via email.
- 8.7 After approval and/or adoption, it is the responsibility of the relevant Manager to provide the following information to the Governance team:
 - a) Electronic copy of the finalised policy or procedure in Word format.
 - b) Resolution number of adoption of the policy (if category 1 or 2).
 - c) Date of CEO / Director approval if category 3

- d) Confirmation of the requirement to upload to the policy page of Council's website, if needed.
- e) Confirmation of the requirement to upload to Council's Policies, Documents and Forms page of the intranet, if needed.
- f) Confirmation of the requirement to upload to the Councillor Portal, if needed.

8.8 It is otherwise the responsibility of the relevant Manager to communicate the arrangements of the new, revised, recategorised or revoked policy or procedure to all relevant stakeholders. For a Category 3 policy or procedure that is not otherwise published to the policy page of Council's website, where relevant this may include publishing the policy or procedure on the appropriate operational page of Council's website for the information of the public, these policies may also require a communication plan to ensure stakeholders are aware of the change.

9 Ongoing Review

- 9.1 Unless a policy or procedure stipulates otherwise or requires review due to legislative requirements, reviews must occur at least every three years.
- 9.2 Reviews should be conducted to allow adequate time for revision, consultation, approval and adoption before the review date.
- 9.3 The Governance team will remind the relevant Manager three months prior to the review date.

10 Responsibilities

| Role | Responsibilities |
|-------------------|---|
| Managers | <ul style="list-style-type: none"> Lead development/review of policies for their respective service areas Ensure internal consultation is completed and reflected before Governance/ELT submission. Ensure compliance with relevant legislation and provide the draft (Word) to Governance for pre-ELT review. Prepare the ELT report (template) and coordinate Director review/authorisation and agenda submission via Governance. |
| Governance | <ul style="list-style-type: none"> Maintain the Policy & Procedure Register and monitor/track progress, due dates, and ELT requests. Control document versioning by supplying current adopted copies for editing and requiring Word submissions with tracked changes. Determine/confirm the appropriate category (1, 2, or 3). Review all new/amended documents before ELT and provide feedback to Managers. Process authorised minor amendments and update records/systems (Register, intranet, website, Councillor Portal) after approvals/adoptions. Coordinate reporting: monthly status updates cycle with Managers/Directors and quarterly ELT reporting on the Register/overdue items. |

DEVELOPING AND REVIEWING POLICIES PROCEDURE

| | |
|------------|--|
| | <ul style="list-style-type: none"> Actively support managers, where required, to update their respective policies. |
| ELT | <ul style="list-style-type: none"> Decide whether a policy or procedure is supported by ELT or requires further work before progressing. Where supported: <ul style="list-style-type: none"> endorse Category 1 and 2 policies to proceed to CEO approval and Council consideration, or endorse Category 3 policies to proceed to CEO approval. Refer policies or procedures for further consultation, clarification, or feedback (including to committees or internal teams) where required. Require policies or procedures to be revised and resubmitted to ELT within specified timeframes where changes are needed. |

11 Version Management

| Version | Approval Date | Description |
|---------|---------------|-------------|
| 1 | | |

12 Procedure approval

| Created by: | Reviewed by: | Approved by: |
|---------------------|--------------|--------------|
| <i>Chloe Morris</i> | ELT | |