# Corporate Documents

## Introduction

This policy emphasises the critical role of corporate documents in shaping the operational landscape of the Shire of Toodyay, serving as navigational tools to guide the organisation towards achieving its strategic objectives. By adhering to a consistent and concise format, these documents not only provide clear guidance but also mitigate organisational risks, ensuring quality results.

## Objective

To ensure compliance with Council's role as outlined in s.2.7(2)(b) of the *Local Government Act 1995* to determine the local government's policies, prioritising adherence to:

1. Federal and State legislation and regulations;

2. The Local Planning Scheme;

3. Specific Council Resolutions;

4. Delegations Register: specific authorisations established by Council, with statutory context under the *Local Government Act 1995;*

5. Local Planning Policy – formulated under the authority of the Local Planning Scheme, by Council resolution;

6. Council Policy – instructions resolved by Council on procedural matters; and

7. CEO Directives - standing instructions or procedures issued by the CEO.

## Scope

This policy applies to all Shire Officers.

## Definitions

Definitions related to this policy are in the table below.

| Term | Definition |
|---|---|
| Best practice | Commercial or professional procedures or guidelines that are accepted or prescribed as being correct or most effective. |
| Business Plan | A plan that forecasts the critical aspects, basic assumptions and financial projections for an existing or proposed Shire trading enterprise or community service facility. |
| Corporate Documents | Strategies, policies, directives, procedures, business plans, and associated documents, including guidelines and forms. |

| Term | Definition |
|---|---|
| Directive | An internal rule or process prescribed by the CEO or Executive Management to guide operational procedures and delegated functions. |
| Policy | A governing principle, set of principles or rules that guides the Shire's practices and constrains procedures or delegated functions. |
| Procedure | A prescription of specific action-oriented processes, necessary to achieve strategic or policy objectives – for internal use. |
| Shire Officers | Employees of the Shire, including Report Writers. |
| Statutory Documents | Corporate documents whose format and layout are guided by legislative requirement i.e. budgets, town planning schemes, annual reports. |
| Strategy | A plan made in advance of actions that identifies, serves and complements the Shire's major strategic goals and objectives. |
| *Refer to the Shire of Toodyay (Shire) Glossary (Definitions) located on the Shire website for definitions not listed: https://www.toodyay.wa.gov.au/documents/470/corporate-documents-glossary-(definitions)* | |

## Policy Statement

This policy underlines the Shire's commitment to complying with legal obligations, delineating the responsibilities of key personnel, particularly the CEO and other Shire executives, and establishing robust conditions and standards for sound management and effective controls related to the development and review of Corporate Documents

## 1. Development of Corporate Documents

(a) All Shire documents are to be developed and reviewed in accordance with the following requirements – they will:

(i) be presented in a format consistent with the Shire's style guide;

(ii) be written concisely and in plain, understandable language;

(iii) identify the date and executive team member responsible for the review;

(iv) be reviewed every three years or earlier when required; and

(v) be endorsed by either the Council or Chief Executive Officer as appropriate.

(b) Shire documents must contain the following elements:

| Type | Elements to be contained |
|---|---|
| **Business Plan**: | Executive summary, historical context, services provided, market analysis, competition analysis, marketing plan, |

| Type | Elements to be contained |
|---|---|
| | operations including staffing details, financial projections for at least 5 years, impact. |
| **Directives**: | Purpose and objectives, scope, roles and responsibilities, procedure or policy statement (if applicable), reference information, legislation, associated documents, reference to where to find definitions, document control information including review position and date. |
| **Policy**: | Introduction, objectives, scope, reference to where to find definitions, policy statement, policy detail, reference information and legislation, associated documents, and document control information including review position and date. |
| **Procedure**: | Objective, enabling policy or strategy, scope, reference to where to find definitions, actions, flowcharts, associated documents, and document control information including review position and date. |
| **Strategy**: | Executive summary, strategic context, key focus areas, performance measurement, and implementation matrix with revenue identification, associated documents, and document control information including review position and date. |

## 2. Review of Corporate Documents

The process required for the development and review of Corporate Shire documents (including policies, frameworks, Strategies, Business Plans, and Budget) is as follows:

**(a) A Shire Officer revises the document(s) by referring to:**

(i) Identifying relevant legislation and regulations;

(ii) Assessing effectiveness of the document in achieving the objectives;

(iii) considering changes in external factors affecting relevance of the document;

(iv) operational guidelines from the Department of Local Government, Sport and Cultural Industries;

(v) Integrity Strategy Guidelines for WA Public Authorities from the Public Sector Commission.

(vi) guidelines from the Department of Planning, Lands and Heritage;

(vii) Tools and Templates from the Western Australian Local Government Association (WALGA).

(viii) tools and Guidelines from the Office of the Auditor General.

(ix) referring to similar Tier 3 local governments for comparison;

(x) implementing Community engagement (where applicable in accordance with Council Policy) and evaluating feedback from stakeholders;

(xi) expert advice (if sought).

**(b) The Shire Officer who conducts the review will:**

(i) provide first draft to other Shire Officers through Corporate Documents Microsoft Office Team for feedback;

(ii) discuss at Council workshop the intention and direction and review of existing policy or policies (time permitting);

(iii) provide 2nd Draft to Council via Microsoft Office Teams for feedback;

(iv) provide 2nd Draft to Committees via Microsoft Office Teams (where applicable) for feedback;

(v) provide 3rd Draft to OCM for consideration, amendment, advertising and/or approval.

(vi) once approved the website is updated.

## 3. Development and review of Directives and Procedures

The process is as follows:

| Document | Process |
|---|---|
| Directives | • Drafted by Managers and/or Executive Support Officers;<br>• Reviewed by Executive Management Group;<br>• Final approval by the CEO;<br>• Distributed to relevant users;<br>• Training provided to relevant staff. |
| Procedure | • Drafted by all Managers and Shire Officers;<br>• Posted onto a central location for access;<br>• Reviewed by Executive Managers;<br>• Tested regularly by the authors of the procedure; and<br>• Training provided to relevant staff (as needed). |

## 4. Registers

The CEO is responsible for maintaining an electronic Register; updated promptly after each authorised resolution of Council, including but not limited to the following:

(a) Resolutions Register;

(b) Policy Register;

(c) Corporate Documents Register; and

(d)    Compliance Register.

A copy of the above registers is to be provided to Council whenever updated.

Registers are also to be maintained for HR Directives and CEO Directives, authorised by the CEO.

## 5.   The Microsoft Office Teams Environment

The Teams environment facilitates comments to be made, questions, proposed changes, or improvement ideas for corporate documents posted for review. Teams include:

**(a)    Corporate Documents**

This team is for Officers at the Shire.  It has one general channel containing Posts and Files.

- The *Post* area is used primarily to post Council related information when documentation has been placed for review; and

- The *File* area contains Elected Member Contact Information and superseded folders relating to LPP policy review.

**(b)    Elected Members.**

The team consists of 2 channels described below:

The General Channel

This channel contains *Posts* and *Files*.

- The *Post* area is used primarily to post Council related information when documentation has been placed for review; and

- The *File* area contains Elected Member Contact Information and superseded folders relating to LPP policy review.

Council Workshops Channel

This channel contains *Posts* and *Files*.

- The *Post* area is used primarily to post information relating to Council Workshops such as: Agendas; Reminders; Updates; and

- The *File* area contains folders for Ordinary Council Meetings and sub-folders for Council Workshops.

**(c)    Committees**

The following Committees have one general channel on their team environment:

(i)     Audit and Risk Committee;

(ii)    Heritage Advisory Committee;

(iii)   Works Advisory Committee;

(iv)   Local Emergency Management Committee; and the

(v)    Environmental Advisory Committee.

The general channel contains *Posts* and *Files*.

- The *Post* area is used primarily to post information relating to meetings, Reminders, requests, and Updates; and
- The *File* area contains agenda folders and/or review folders.

## 6. Stakeholder input

Shire Officers will seek input from sources as follows:

### 6.1 Corporate Documents Team

**(a) Shire Officers shall:**

(i) place any documents or policies to be reviewed on Teams;

(ii) immediately notify Members of the team through outlook, to provide context in regard to any documents or policies posted;

(iii) respond within **1 day** to any feedback; and

(iv) be permitted to extend the deadline by which Officers must make comment.

**(b) Team Members shall:**

(i) Review any documents or policies placed on the team Channel;

(ii) Provide feedback to Shire Officers within **10-days** of being notified, or by the deadline stipulated by the Shire Officer who made the original post.

**(c) Following Review**

The Shire Officer will consider the feedback and:

(i) put the document or policy on the team environment for Elected Members.

(ii) provide the same information via the relevant committee team environment, where the purpose of the committee allows for it.

### 6.2. Elected Members Team & Committee Team Environment

**(a) Shire Officers shall:**

(i) Place any documents or policies to be reviewed on Teams at least **14 days** prior to sending out an Agenda;

(ii) Immediately notify team members of their above action, to provide context in regard to any documents or policies posted;

(iii) Respond within **1 day** to any feedback; and

(iv) Be permitted to extend the deadline by which Team Members must make comment.

**(b) Team Members shall:**

(i) Review any documents or policies placed on the team in the relevant folder;

(ii) Provide feedback to Shire Officers within **10-days** of being notified.

**(c)    Following Review**

The Shire Officer will consider the feedback and use their discretion to take the document or policy to:

(i)     a Committee for a recommendation to Council (where applicable); or

(ii)    to a Council Workshop (where the document is complex); or

(iii)   directly to Council for adoption.

## 7.    Roles and Responsibilities

(a)    Councillors and Shire Officers initiate policy reviews and provide input;

(b)    Executive Managers oversee the review process to ensure alignment with organisational objectives and risk management principles;

(c)    Shire Officers contribute insights and data relevant to policy currency and effectiveness; and

(d)    Committee Members and Councillors contribute to the review process by providing comments, questions, and improvement ideas.

## 8.    Development of Key documents through forums and workshops

The development of key corporate documents involves a structured and collaborative process, as explained above however, these documents may also be presented to Council Members and Shire Officers through forums and workshops after the above process has been carried out.

This will allow for discussions around initiating, amending, and reviewing important documents, ensuring they are well-informed and effectively developed.

**Financial Planning**: Budget-related information is presented during workshops or forums. These sessions cover Budget Review matters and Annual Budget deliberations, allowing Members to consider significant revenue-raising requirements or expenditure needs. Project briefs are often presented to provide detailed context for developing the Annual Budget and reviewing the Annual Report. These discussions help Members understand financial planning processes and contribute to refining financial documents.

**Strategic Planning**: Integrated Strategic Planning and Reporting (ISP) provides a framework for local governments to establish and link local priorities to operational functions. The CEO and Administration lead the preparation of strategic plans, taking into account various key inputs and influences. Workshops are essential for reviewing ISP documents, such as the Council Plan, in line with regulatory requirements. Additionally, informing strategies like long-term financial plans, asset management plans, and workforce plans are also reviewed during these sessions, ensuring comprehensive strategic planning.

**Delegation and Policy Development**: The Register of Delegations and any policies undergoing review, amendment, or development are presented to Members and Shire Officers in accordance with this policy. These presentations ensure that all stakeholders are informed about proposed changes and can provide input to improve the clarity and effectiveness of these documents.

Throughout these processes, no formal decisions are made during the forums or workshops. However, the information provided and the ideas developed are meticulously documented. This documentation serves as consultation material for formal reports to the Council, ensuring that all discussions and contributions are considered in the final decision-making process. This collaborative and transparent approach enhances the quality and relevance of key corporate documents within the Shire of Toodyay.

## 9. Compliance, Implementation and Review

Corporate Shire Documents are reviewed regularly to ensure alignment with legislative requirements, industry standards, and best practices.

Any variation will be communicated by email to relevant employees, elected officials, contractors, volunteers, and stakeholders of the Shire.

## Reference Information

- Nil

## Legislation

- *Local Government Act 1995*

## Associated documents

Shire of Toodyay Style Guide and templates

Shire Registers

| Document control information | |
|---|---|
| **Document Category** | Administration |
| **Document Title** | Corporate Documents |
| **Document ID** | ADM1 |
| **Document Owner (position title)** | Chief Executive Officer |
| **Author (position title)** | Chief Executive Officer |
| **Date of approval** | 26 June 2024 (CRN: OCM194/06/24) |
| **Approving authority** | Council |
| **Access restrictions** | Nil. |
| **Date Published** | 9 July 2024 |
| **Date of last review** | 27 May 2024 |
| **Date of next review** | Annually with the review of the Delegation Register |