

## 1.18 Corporate Document Policy

<b>Policy Owner</b>	Executive Director Corporate & Commercial Services
<b>Responsible Officer</b>	Manager Governance & Risk
<b>Date of Approval</b>	16/05/2006
<b>Amended/Revised</b>	25/06/2024

### Objective

To ensure corporate documents are relevant, uniform, accessible and user friendly.

### Scope

The development, review, and approval of all Corporate Documents (strategies, business plans, policies, and procedures).

The policy does not extend to statutory documents that are governed by prescribed legislative requirements and statutory processes.

### Policy Statement

Corporate documents guide the City's practice and support the achievement of the City's Strategic goals and objectives. In guiding practice, corporate documents also support the achievement of quality outcomes and reduce organisational risk.

All documents must be developed and reviewed consistent with legislative requirements and recognise and identify their enabling corporate strategic objective and revenue source. The policy does not extend to statutory documents that are governed by legislative requirements and statutory process.

All corporate documents will be developed and reviewed in accordance with the following requirements – they will:

- Be presented in a common format using the template provided for in this policy.
- Be written concisely and in plain, understandable language.
- Identify the date and executive team member responsible for the review.
- Be reviewed every three years or earlier if appropriate.
- Be endorsed by either the Council or Chief Executive Officer as appropriate.

Corporate documents must contain the following elements:

- **Policy:** Each policy should include an objective, scope, definitions, policy statement, legislative and strategic context, associated documents, and a review position and date.
- **Strategy:** Strategies should consist of an executive summary, strategic context, key focus areas, performance measurement, implementation matrix with revenue identification, associated documents, and a review position and date.
- **Procedure:** Procedures should contain an objective, enabling policy or strategy, scope, definitions, actions, flowcharts (Visio format), associated documents, and a review position and date.
- **Business Plan:** Business plans should encompass an executive summary, historical context, services provided, market analysis, competition analysis, marketing plan, operations including staffing details, financial projections for at least five years, and impact assessment.

### Legislative and Strategic Context

This item relates directly to the following elements of the Strategic Community Plan 2032:

- **Pillar: Leadership.** A well-governed city that uses resources wisely to meet local needs.

### Local Government Act 1995 (section 2.7 (2b) and 5.41).

#### **2.7. Role of council**

(1) *The council —*

- (a) *governs the local government's affairs; and*
- (b) *is responsible for the performance of the local government's functions.*

(2) *Without limiting subsection (1), the council is to —*

- (a) *oversee the allocation of the local government's finances and resources; and*
- (b) *determine the local government's policies.*

#### **5.41. Functions of CEO**

*The CEO's functions are to —*

- (a) *advise the council in relation to the functions of a local government under this Act and other written laws; and*
- (b) *ensure that advice and information is available to the council so that informed decisions can be made; and*
- (c) *cause council decisions to be implemented; and*
- (d) *manage the day-to-day operations of the local government; and*
- (e) *liaise with the mayor or president on the local government's affairs and the performance of the local government's functions; and*
- (f) *speak on behalf of the local government if the mayor or president agrees; and*
- (g) *be responsible for the employment, management supervision, direction and dismissal of other employees (subject to section 5.37(2) in relation to senior employees); and*
- (h) *ensure that records and documents of the local government are properly kept for the purposes of this Act and any other written law; and*
- (i) *perform any other function specified or delegated by the local government or imposed under this Act or any other written law as a function to be performed by the CEO.*

### Review Position and Date

Policy Owner to review annually.

### Definitions

- **Corporate Documents:** Refers to strategies, policies, procedures, business plans, and associated documents, including guidelines and forms.
- **Statutory Documents:** Corporate documents that follow specific format and layout requirements dictated by legislation, such as budgets, local planning schemes, and annual reports.
- **Strategy:** A pre-planned course of action that identifies, serves, and complements the City's major strategic goals and objectives.
- **Policy:** Governing principles or rules that guide the City's practices and regulate procedures or delegated functions.
- **Procedure:** A set of action-oriented processes prescribed to achieve strategic or policy objectives.
- **Business Plan:** A comprehensive plan that forecasts critical aspects, basic assumptions, and financial projections for an existing or proposed City trading enterprise or community service facility.

### Associated Documents

- Corporate Document Development and Review Guidelines (Attached).
- Corporate Document Templates (linked on the City's intranet).

### Attachment:

- Corporate Document Development and Review Guidelines (Attached).

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## Corporate Document Development and Review Guideline

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### Attachment 1 - Corporate Document Development, Review and Approval Guideline & Procedure

#### Introduction

The following Corporate Document Development and Review Guideline and Procedures provides a framework for the creation and assessment of corporate documents within the City of Albany. The purpose of this guideline is to ensure that corporate documents are relevant, consistent, accessible, and user-friendly.

By adhering to this guideline, the City aims to support the achievement of its strategic goals and objectives, promote quality outcomes, and mitigate organizational risks. It is important to note that this guideline does not apply to statutory documents governed by specific legislative requirements and processes.

Corporate documents support the achievement of quality outcomes and reduce organisational risk, therefore this policy position and the supporting administrative procedures establish standard document types and administrative development, review and approval protocols.

#### Guiding Principles

- **Consistency and Format:** All corporate documents must adhere to a common format using the provided template. This promotes a uniform appearance and enhances readability across different documents.
- **Clarity and Simplicity:** Corporate documents should be written concisely and in plain, understandable language to ensure ease of comprehension for readers.
- **Review and Responsibility:** Each document should clearly indicate the date of review and the executive team member responsible for the review process.
- **Regular Review:** All corporate documents must undergo a review every three years or earlier if deemed appropriate.
- **Endorsement:** Depending on the nature of the document, it should be endorsed by either the Council or the Chief Executive Officer to ensure its validity and alignment with organizational objectives.

#### Scope

This guideline applies to the development and review of all Council strategies, business plans, policies, and procedures within the City of Albany.

#### Application of the Council adopted policy positions.

**Corporate documents:** Corporate Documents guide the City of Albany (the City) administration and support the achievement of our community's Strategic Plan and the City's Corporate Business Plan. All corporate documents must be:

- Developed and reviewed;
- Consistent with prescribed legislative requirements; and
- Recognise and identify their enabling corporate strategic objectives.

The **document development, review and approval process** applies to any document made publicly available on the City's website.

All corporate documents will be developed and reviewed in accordance with the following requirements – they will:

- Be presented in a common format using the template provided for in this policy.
- Be written concisely and in plain, understandable language.
- Identify an executive team member responsible for the review.
- Be reviewed every three years or earlier if appropriate.
- Be endorsed by either the Council, Chief Executive Officer or designated authorised person.

**Strategy & Policy Development:** Council is responsible for setting the City's strategic and policy direction. The implementation of that direction and the day-to-day operations rests with the Chief Executive Officer (CEO).

**Council Policies – adopted by Council:** Council Policies set the governing principle or rules that guide Council's delegated functions to the administration. Council Policies align with our Community Strategic Plan, the Corporate Business Plan and provide general guidance without directing the administrations' operational activities.

**Administrative Policies and Directives – approved by the Executive:** Administrative policies are developed for administrative and operational imperatives and are developed by the administration.

- Administrative Policies that have an impact on staff are to be developed in consultation.
- Administrative Directives communicate required action to be taken, under law, can be issued without consultation.

**Procedures and Guidelines – approved by authorised persons:** Procedures and guidelines provide administrative guidance on how to implement Council adopted Policies and Executive approved policy positions.

**Strategies and Plans:** Any strategy or plan that has a financial impost, must be linked to the City's Integrated Planning & Reporting Framework and appropriate revenue source.

### Definitions & Prescribed Legislative Requirements

Key terms and acronyms used in the policy and procedure, and their definitions:

- **Agenda (notice papers) & Minutes** – An agenda is used to help focus a meeting and allows the presiding member to control the pace and flow of a meeting and identify important items to be acted upon. Agendas may be circulated by e-mail or hard copy.
- **Minutes of council or committee meetings** – Section 5.94(n) of the Local Government Act 1995 (the Act) requires any confirmed minutes of council or committee meetings (current or historic) to be available for public inspection. The prescribed content for Council Committees are detailed in the:
  - City's Standing Orders Local Law 2014(as amended); and
  - The Local Government Act 1995 (the Act) section 5.94(n) & (u), 5.96A(1)(f), (2), (3); and
  - The Local Government (Administration) Regulations 1996, Reg. 29(1)(c).
- **Minutes of elector's meetings** – Section 5.96A(1)(g), s5.94(o) of the Act.

- **Annual Budgets** – The content of the annual budget is prescribed by the Local Government Act 1995 (the Act), Part 6, Division 2, and the Local Government (Financial Management) Regulations 1996, Part 3. Section 5.94(3) of the Act requires any budget (current or historic) to be available for public inspection. Section 5.96A(1)(c) of the Act, requires any budget to be placed on the City’s website.
- **Annual Reports & any plan (Strategic Community Plan) – (Corporate Business Plan).** The content of the annual report is prescribed by the Local Government Act 1995 (the Act), Part 5, Division 5. The Annual Report is to be published on the City’s website within 14 days of being accepted by the Council. Section 5.94(f) of the Act requires any plan for the future (current or historic) to be available for public inspection. Section 5.96A(e) of the Act, requires the current plan to be placed on the City’s website. It is discretionary for local governments to publish the Council adopted:
  - Long Term Financial Plan,
  - Asset Management Plan,
  - Workforce Plan, and
  - Other enabling strategies.
- **Business Plan** – A plan that forecasts the critical aspects, basic assumptions, and financial projections for an existing or proposed City trading enterprise or community service facility. The content of business plans prepared under section 5.94 of the Local Government Act 1995 (the Act), has prescribed content. The Act requires any business plan (current or historic) to be available for inspection and section 2.59(4)(c) requires Business Plans to be published on the website.
- **Content Management** – Corporate document accessed and managed via the City’s website content management system. This system facilitates the upload, review, and approval process.
- **Corporate Documents** – Strategies, policies, procedures, business plans, council committee agendas/minutes, associated documents, including publications (guidelines, procedures, information sheets, forms, and public registers).
- **Document Custodian** The Document Custodian is responsible for monitoring the corporate document register and reporting on the status of the Corporate Document Register to the Executive Management Team (EMT). The Document Custodian is also responsible for ensuring all Council adopted policy positions are submitted to Council for review annually.
- **Document Development Officer** – The Document Owner is assigned on a document-by-document basis, by a member of the Executive Management Team (EMT). The Document Development Officer has responsibility for coordinating the development and/or review of Corporate Documents they are assigned.
- **Document Owner** – The Document Owner is a member of the Executive Management Team (EMT) or designated officer and has overall responsibility for their allocated Corporate Documents. The Document Owner is required to monitor their assigned documents so that it accurately reflects current legislation, and the City’s current goals, objectives and practices.
- **Guidelines & Procedures** – A guideline provides general guidance, and additional advice and support for policies and standards, whilst a procedure provides specific guidance.

**The biggest difference between a policy and guidelines and procedures is that a policy is always mandatory, and the others are voluntary.**

- **Local Laws** – Local laws ensure that activities throughout the City are regulated, controlled, and efficiently managed. Under the Local Government Act 1995, the City of Albany Council is able to make local laws considered necessary for the good government of the district. Local Laws are made by local governments in accordance with section 3.12 of the Act.

Section 5.96A(a)(b) requires that an “up-to-date consolidated version of any local law that is in force is to be published on the local government’s website. This requires the principal local law and subsequent local law amendments to be compiled as an “up-to-date” consolidated (as amended) version.

Any proposed local law of which the City has given public notice under section 3.12(3) of the Act, must also be displayed on the City’s website in accordance with section 1.7(a) of the Act.

- **Policies** – Policies are a governing principle, set of principles or rules that guide the City’s practices and constrain procedures or delegated functions.

Both Council adopted Policy Positions and approved administrative policies, authorised under delegation, enable effective and efficient management of City of Albany resources, and assist staff and Council to achieve an equitable decision-making process.

The following policy content is prescribed under the Local Government Act 1995 (the Act) and associated regulations:

- Policy for temporary employment or appointment of CEO.
  - Model standards for CEO Recruitment, Performance and Termination.
  - Policy in relation to employees whose employment with the local government is finishing – payments to employees in addition to contract or award.
  - Codes of Conduct.
  - Policy in relation to the continuing professional development of council members: section 5.128 of the Act.
  - Policy for attendance at events - council members and CEO.
  - All Policies must be displayed on the City’s website.
- **Registers** – The following public register content is prescribed under the Local Government Act 1995 (the Act) and associated regulations:
    - Register of Financial Interests.
    - Register of certain complaints.
    - Register of training completed by council members in the financial year.
  - **Statutory Documents** – Statutory documents are those documents that are used by the City; however, the format and layout is guided by legislative requirements i.e. budgets, town planning schemes, annual reports etc.
  - **Strategy** – A strategy is a plan made in advance of actions that identifies, serves and complements the City’s major strategic goals and objectives.

### Associated Documents & Resources

Documents that have a bearing on this policy and that may be useful reference material for users of this policy, follow:

- Strategic Community Plan
- Corporate Document Templates (linked on the City’s intranet).
- Create or review document process (attached)
- Government Gazette Process
- State Law Publisher | website: <https://www.slp.wa.gov.au>
- Parliament of Western Australia | Joint Standing Committee on Delegated Legislation | website: <https://www.parliament.wa.gov.au>

## **PROCEDURES & ACTIONS:**

### **STAGE 1: PLANNING**

The Council, CEO, Executive Directors or staff may identify the need for a new or amended Corporate Document.

Corporate Documents are reviewed on a 3-year basis to ensure compliance with legislative changes and relevance to City goals, objectives, and practices.

Approval to proceed with the development or review must be given by the Document Owner. The Document Owner is responsible for:

- Maintaining documentation to accurately reflect the current goals, objectives, and practices of the City.
- Initiating the review of Corporate Documents.
- Advising staff of any changes to documentation and associated goals, objectives, and practices.
- Identifying and coordinating any subsequent training needs to support effective implementation of Corporate Documentation.

The Document Owner appoints a Document Development Officer who is responsible for coordinating the development or review of the document.

The Document Owner briefs the Document Development Officer on:

- Context and reasons for development/review.
- Timelines.
- Consultation process.

### **STAGE 2: CONSULTATION AND DRAFTING**

The Document Development Officer is required to consult with relevant stakeholders. The extent of consultation required depends on the document type or the extent of amendments to an existing document.

Key stakeholders, including executives, elected members, community groups, State or Federal Government departments, and the community, should be engaged during this phase. Consideration must be given to ensuring:

- Compliance with all relevant legislation.
- Addressing any resource implications linked to implementation.
- Addressing the impact and implications on existing Corporate Documents.

The Document Development Officer is responsible for ensuring that the new or amended documents are written into a final draft using the appropriate template.

For associated documents (e.g., forms and guidelines), the Document Development Officer can determine the format while maintaining the style requirements outlined in the Communication Guide. The Document Owner is responsible for the final document check, ensuring it meets format requirements, has functional integrity, and is legible before submission to the Corporate Document Custodian.



#### **STAGE 4A: IMPLEMENTATION (ADOPTION AND/OR APPROVAL)**

The Document Owner determines which Corporate Documents will be finally adopted by Council or the CEO (delegated under Section 5.42 of the Local Government Act 1995).

Corporate Documents not requiring Council or delegated approval may be approved by the CEO, a member of the Executive Management Team (EMT), or the Corporate Document Custodian.

All Corporate Documents must be authorised prior to publication.

The Corporate Document Custodian and the Document Development Officer are responsible for checking the document for legislative compliance, formatting, and writing style.

If any issues are detected, the document will be rejected and returned to the Document Owner.

#### **STAGE 4B: IMPLEMENTATION**

The Document Development Officer, on behalf of the Document Owner, forwards the final draft to the **Corporate Document Custodian**.

The Corporate Document Custodian is responsible for ensuring that the document:

- Has a registered Word version on the City's Record System.
- Is submitted and approved on the City's website content management system.

The Document Development Officer, on behalf of the Document Owner, ensures that staff are informed of any changes to Corporate Documents.

#### **STAGE 5: REVIEW**

Corporate Document review may be initiated by Council, the Executive, or the Document Owner.

Significant amendments that result in a change in goals, objectives, or practices must go through the authorization and adoption process outlined in Stage 4A above.

**Flowchart:**



<p><b>[START]</b></p> <p>--&gt; [Identify the need for new/amended Corporate Document]</p> <p>--&gt; [Obtain approval from Document Owner]</p> <p>--&gt; [Appoint Document Development Officer]</p> <p>--&gt; [Consultation with stakeholders]</p> <p>--&gt; [Draft the document using appropriate template]</p> <p>--&gt; [Final document check by Document Owner]</p> <p>--&gt; [Submission to Corporate Document Custodian]</p> <p>--&gt; [Check for compliance and formatting]</p> <p>--&gt; [Authorisation by Council/CEO/EMT]</p> <p>--&gt; [Publication on City's website]</p> <p>--&gt; [Inform staff of changes]</p> <p>--&gt; [Review initiated by Council/Executive/Document Owner?]</p> <p>--&gt; [Significant amendments requiring authorisation?]</p> <p>--&gt; <b>[END]</b></p>	<p><b>The main entities involved in the process are:</b></p> <p>(1) Corporate Document: Represents a new or amended document that needs to be developed or reviewed.</p> <p>(2) Document Owner: Represents the responsible person who oversees the document and ensures its accuracy and alignment with goals and practices.</p> <p>(3) Document Development Officer: Represents the person responsible for coordinating the development or review of the document.</p> <p>(4) Stakeholders: Represents the individuals or groups consulted during the process, such as executives, elected members, community groups, and government departments.</p> <p>(5) Corporate Document Custodian: Represents the person responsible for managing and approving the final document for publication on the City's website.</p> <p>(6) Council/CEO/EMT: Represents the authorities who authorise the document, depending on the level of approval required.</p> <p>(7) Staff: Represents the City's employees who need to be informed of any changes to Corporate Documents.</p> <p><b>The relationships between these entities can be described as follows:</b></p> <p>(1) Corporate Document is approved by Document Owner (Policy Owner etc.).</p> <p>(2) Document Owner appoints a Document Development Officer.</p> <p>(3) Document Development Officer consults with Stakeholders.</p> <p>(4) Document Development Officer drafts the document.</p> <p>(5) Document Owner performs a final document check.</p> <p>(6) Document is submitted to the Corporate Document Custodian.</p> <p>(7) Corporate Document Custodian checks for compliance and formatting.</p> <p>(8) Corporate Document is authorized by Council/CEO/EMT.</p> <p>(9) Authorised document is published on the City's website.</p> <p>(10) Staff is informed of changes to Corporate Documents.</p> <p>(11) Review of Corporate Documents can be initiated by Council/Executive/Document Owner.</p> <p>(12) Significant amendments requiring authorization go through the approval process.</p>
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