



ATTACHMENTS MINUTES

Council Meeting

Wednesday, 25 January 2023

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Policies Policy

Department:	Policy and strategy
Document ID:	601595
Approved by:	Council resolution
Effective date:	January 2023
Next review:	January 2026

Purpose:

To provide a consistent approach to the development, approval, implementation, and review of policy documents to ensure they meet Council's administrative, legislative, and wellbeing requirements.

Principles and objectives:

- Robust and efficient systems are in place, with clear ownership and accountability, to create a consistent policy suite that aligns with and strengthens Council's position, vision, and values.
- The right policy documents are in place, and kept up to date, to ensure ongoing compliance with relevant legislative requirements.
- Policy processes and systems are accessible, transparent, and meet the needs of the community.

Scope:

This policy applies to all Central Otago District Council policy documents.

Policy documents is an umbrella term to encompass the different types of documents that may be created to respond to guide or outline how things are done. This includes policies, strategies, procedures, processes, plans, guidelines, and codes of practice.

Definitions:

What is a policy?

A policy is a document that outlines how things are done at Central Otago District Council, relating to a particular topic, issue, or area of interest.

A policy provides a general explanation, it does not cover the details. A policy will also outline the principles or values that underpin the actions, to explain why they are in place.



What is the difference between a policy, process, and a procedure?

The difference between a policy, process, and procedure is the level of detail provided by each.

- A policy provides overall guidance how to approach a particular issue.
- A process provides a series of steps or actions to take to achieve a particular end (i.e. flowcharts or diagrams).
- A procedure provides much more detailed steps or specific instructions.

Approval body	Group or officer with delegation to approve, renew, and retire policy documents
Audit and Risk Committee	The Audit and Risk Committee is a CODC committee that provides governance and oversight in the areas of audit and risk to ensure appropriate systems and practice are delivered throughout the Council and its activities.
Delegation	The assignment of a power, function or duty of action to another, together with the authority to carry out that duty or complete the action assigned with responsibility for the outcome.
Delegations register	A document outlining the specific delegations at Central Otago District Council. There are two delegations registers, one for governance delegations and one for operational delegations.
Guidelines or guidance documents	Guidance documents provide clarity to guide employees in decision-making and navigate the nuances and application of policies, processes, and procedures.
Legislative requirements	Any applicable law, statute, by-law, regulation, or order.
Plan	A plan is a course of action for the future, or a roadmap to achieve a goal.
Policy	A policy provides overall guidance and principles to guide a course of action. They are high level guidance documents and do not contain the same level of detail as a process or a procedure.
Policy documents	An umbrella term to encompass the different types of documents that may be created to respond to guide or outline how things are done. This includes policies, strategies, procedures, processes, plans, guidelines, and codes of practice.
Policy owner	Responsible officer for managing a particular policy document



Procedure	A procedure provides highly detailed steps or instructions. It contained a much higher level of detail than a process or a policy. They are likely to change more frequently.
Process	A process provides a series of steps of actions to take to achieve a particular end. It contains a higher level of operational detail than a policy but is not as detailed as a procedure.
Strategy documents	A strategy is similar to a plan. It has a long-range perspective and a series of objectives, intentions, and actions to lead the organisation toward a desired position or outcome.

Policy:

Policy Owner

A policy owner must be allocated to any policy document. A policy owner is responsible for end-to-end management of that policy, including:

- Managing the approval process for the policy document
- Ensuring the policy is renewed prior to its expiry
- The information about the policy contained on the policy register, including ensuring up to date information is provided to the Policy and Strategy team
- Public engagement, consultation, and awareness of the policy document
- Storage and record keeping in line with the Information and Records Management Policy.

Policy Approval

The approval body for a particular policy will depend on where the delegation sits in the Register of Delegations to Community Boards, Portfolios, Committees, and the Chief Executive Officer, and the Staff Delegations Manual.

Approval body	General parameters	Document to provide further guidance
Council	Governance matters with district wide implications	Register of Delegations to Community Boards, Portfolios, Committees, and the Chief Executive Officer





Community Board	Governance matters distinct to one local area	Register of Delegations to Community Boards, Portfolios, Committees, and the Chief Executive Officer
Chief Executive	Internal staff operations or operational matters relevant across the organisation, or to multiple departments	Register of Delegations to Community Boards, Portfolios, Committees, and the Chief Executive Officer & Staff Delegations Manual
Executive Leadership	Internal staff operations or operational matters distinct to one department	Staff Delegations Manual

Audit and Risk Committee

The Audit and Risk Committee provides governance and oversight in the areas of audit and risk to ensure appropriate systems and practice are delivered throughout the Council and its activities to continuously improve and manage risk.

Input must be sought from the committee when the policy includes or relates to the following areas:

- Financial reporting
 - Includes long-term planning including the financial strategy, accounting policies, annual reporting, and internal reporting.
- Risk management and the system of internal controls
 - Including setting Council’s appetite for risk, key risk areas, internal controls, and fraud and procurement.
- External audit
- Internal audit

Input may also be sought from the committee for items with a significant financial impact for council, or where external oversight and advice may be advantageous.

Policies taken to Audit and Risk will generally need approval from Council. Time must be allowed for to ensure both Committee Meeting timeframes can be allowed for before the expiration of an existing policy.

Review and renewal

Policy documents should be reviewed regularly to ensure their content remains relevant.



They must be reviewed within the following timeframes:

Bylaws	5 years
Policies	3 years
Plans	5 years
Strategies	5 years
Procedures, processes, and guidelines	5 years

The following exceptions apply:

- When the policy is tied directly to legislation – in these instances, timeframes may follow the relevant act
- Community-owned policy documents, as they are administered directly by the community
- Plans and policies in joint administration with other councils
- Regional Identity
- Reserve Management Plans

Expiration and targets

There is an expectation policy should be renewed before expiration. Policy owners are responsible for ensuring the revision process takes the governance schedule into account.

Council reports annually to auditors on the percentage of policy documents that are operational and in date.

The policy target is for 80% of policies to be in date at any one time.

It is considered standard practice for all Central Otago employees to continue to abide by the terms of a policy that has expired, until it is either renewed or removed.

Closing and archiving a policy

The decision to retire a policy must be made by the same approval body, i.e. a policy adopted by Council must be retired by Council.

For clarity, this does not include policies removed prior to the initiation of this policy (December 2022).

Policy register



A register of policies and strategies is maintained by the Strategy and Policy team and presented to each Audit and Risk Committee. Policy owners are responsible for ensuring accurate information is provided to the Strategy and Policy team.

The register does not include processes, procedures, guidance documents, or plans, unless specifically requested.

An annual review is undertaken comparing legislative updates to the policies contained in the register to ensure ongoing compliance. This review is presented to the Audit and Risk Committee.

Publication

All policies adopted by Council are published externally.

Policy documents that primarily relate to the management of staff, including human resource provisions, are not published. These policies appear marked 'internal' on the register.

Community-owned policy documents

Council also administers a series of community-owned and developed strategies.

These documents are managed by their community owners and are not included in calculated targets.

Relevant legislation:

- Local Government Act 2002

Related documents:

- Information and Records Management Policy
- LGOIMA Request Policy
- Mandatory Documents and Legislative Compliance Register
- Policy and Strategy Register
- Register of Delegations to Community Boards, Portfolios, Committees, and the Chief Executive Officer
- Staff Delegations Manual