

# Corporate Documents Governance Policy

<b>Policy Owner:</b>	Director – Organisational Services
<b>Effective Date:</b>	29 January 2025
<b>Strategic Alignment:</b>	Corporate Plan 2021-2026 Governance Framework
<b>Review Timeframe:</b>	2 years from the date of adoption.

## 1. Purpose

To maintain a high standard for Council’s corporate documents, through establishing a clear and consistent governance structure for the development, naming, approval and ongoing management of corporate documents at Council.

## 2. Scope

This policy applies to all Councillors, Councillor advisors and Council staff. Council staff includes employees, labour hire workers, independent contractors and volunteers.

## 3. Policy Statement

Council is committed to being a high performing organisation. A key priority of Council is to provide good governance through open, transparent and accountable processes.

Effective governance of corporate documents supports Council’s commitment in the Corporate Plan 2021-2026 to being a high performing organisation.

## 4. Principles

Council’s approach to corporate document governance is based on ensuring:

- a) clarity and consistency with respect to the development, naming, approval and management of corporate documents
- b) transparency in the approval and review mechanisms for its corporate documents
- c) that the public has access to relevant information.

## 5. Application of this Policy

### 5.1 Naming convention

This policy acts as a starting point when naming a corporate document.

All corporate documents must be named and characterised in accordance with the **corporate document matrix**.

Where legislative requirements or industry practices use other terminology or characteristics that are inconsistent with this policy, the corporate document:

- a) may be named in accordance with the legislation or industry practice
- b) must identify where it sits within this policy.

## 5.2 Initiative Lifecycle

The Enterprise Portfolio Management Office is responsible for establishing and managing processes for developing and delivering initiatives. The following corporate documents must follow the initiative lifecycle:

- a) New controlled corporate documents must follow the Enterprise Portfolio Management Office's initiative lifecycle. The director of the relevant branch will act as project sponsor of the initiative.
- b) Any new or amended **corporate document** which results in:
  - a. organisational change implications
  - b. financial commitments that Council has not budgeted for.

## 5.3 Approval of corporate documents

The creation of new corporate documents and any amendments to existing corporate documents must be:

- a) supported by the document owner
- b) approved by the document approver.

## 5.4 Minor amendments to controlled corporate documents

An authorised employee may make **minor amendments** to a controlled corporate document (except a local law or subordinate local law).

For the avoidance of doubt, it is at the **authorised employee's** sole discretion as to whether an amendment is minor. If the **authorised employee** does not consider the amendment to be minor, the controlled corporate document should be amended and approved following the process established by this policy and set out in clause 5.3 (Approval of corporate documents).

## 5.5 Minor amendments to instruments

An **authorised employee** may make **minor amendments** to instruments of authorisation only.

For the avoidance of doubt:

- a) an **authorised employee** may not amend an instrument of delegation or instrument of appointment under this authority
- b) it is at the **authorised employee's** sole discretion as to whether an amendment is minor. If the **authorised employee** does not consider the amendment to be minor, the instrument of authorisation should be amended following the process established by this policy and set out in clause 5.3 (Approval of corporate documents).

## 5.6 Publication

Corporate documents must be published in the location identified in column 6 of the **corporate document matrix**.

## 5.7 Review of corporate documents

As a minimum, **controlled corporate documents** and instruments must be reviewed in order of the following priority:

- a) in accordance with any relevant statutory obligation
- b) if no relevant statutory obligation exists, in accordance with any time limits stated in the corporate document itself

- c) where there is no statutory obligation and the corporate document does not state any time limit for review, the corporate document may be reviewed:
  - a. as determined by the document owner
  - b. as part of a **corporate review** that is:
    - i. instigated by the document maintainer at least once in every 5-year period
    - ii. endorsed by the Executive Leadership Team. For the avoidance of doubt, this does not prevent an officer instigating the process of creating or amending a corporate document.

**Resource documents** are reviewed as and when considered appropriate by the document maintainer.

## 6. Roles and Responsibilities

- a) The **document approver** is responsible for approving the creation of a new or amended **corporate document**.
- b) The **document owner** is responsible for endorsing the creation of a new or amended **corporate document**.
- c) The **document maintainer** will maintain the **corporate document** and ensure it is accessible to the community and Council staff (as applicable).
- d) Branch Managers and Program Leaders are responsible for the development of and amendments to **corporate documents**. They also assume responsibility for assessing any areas of overlap, contradiction or integration with other **corporate documents** and for resolving these issues.
- e) The Corporate Governance branch will establish and maintain a register of all **controlled corporate documents**.
- f) The Corporate Governance branch will establish an approval process for the creation or amendment of a:
  - a. local law
  - b. policy
  - c. instrument.
- g) The Enterprise Portfolio Management Office will establish an approval process for the creation or amendment of a:
  - a. strategy
  - b. plan
  - c. framework.
- h) The Corporate Governance branch will establish an approval process for **minor amendments** to a:
  - a. policy
  - b. instrument of authorisation
- i) The Corporate Governance branch will establish standards that set out the minimum expectations and guidance on policy drafting.

- j) The Enterprise Portfolio Management Office will establish an approval process for **minor amendments** to a:
- a. strategy
  - b. plan
  - c. framework.

## 7. Reporting

Not applicable.

## 8. Human Rights

Under the *Human Rights Act 2019*, Council must not make a decision without considering and assessing the potential impact to human rights, and giving consideration to any impacts before making a decision. Council does not consider that any human rights are impacted by this policy.

## 9. Definitions

The following definitions apply to this policy.

TERM	DEFINITION
Authorised employee	An employee or contractor authorised by the Chief Executive Officer pursuant to an instrument of authorisation.
Controlled corporate document	Includes: <ol style="list-style-type: none"> <li>1. Local Law</li> <li>2. Strategy</li> <li>3. Plan</li> <li>4. Framework</li> <li>5. Policy</li> </ol>
Corporate document(s)	Any one of the documents listed in Column 1 of the <b>corporate document matrix</b> , with the exception of 'Legislation'.
Corporate document matrix	Identifies Council's corporate documents together with their characteristics, the document approver, the document owner, the document maintainer and where they are published.  The <b>corporate document matrix</b> is Appendix 1 to this policy.
Corporate review	Is a review of a <b>controlled corporate document</b> or instrument instigated by the document maintainer.
Document approver	The approver stated in column 3 of the <b>corporate document matrix</b> .
Document maintainer	The maintainer of the corporate document stated in column 5 of the <b>corporate document matrix</b> .
Document owner	The owner stated in column 4 of the <b>corporate document matrix</b> .
Instruments	Includes:

	<ol style="list-style-type: none"> <li>1. instrument of delegation</li> <li>2. instrument of appointment (of a local government worker or authorised person for the purposes of the <i>Local Government Act 2009</i>)</li> <li>3. instrument of authorisation</li> </ol>
Minor amendments	<p>Are:</p> <ol style="list-style-type: none"> <li>1. amendments to position titles and reporting lines (subject to verification by the People and Culture branch)</li> <li>2. updates of corporate branding</li> <li>3. legislative amendments</li> <li>4. grammatical and typographical amendments</li> </ol>
Resource documents	<p>Is any of the following corporate documents:</p> <ol style="list-style-type: none"> <li>1. process, procedure and guideline</li> <li>2. supporting document</li> </ol> <p>(as identified on the <b><i>corporate document matrix</i></b>).</p>

## 10. Document Control

Version Number	Description of Change	Author / Branch	Effective Date
1.0	New	Corporate Governance	2 November 2023
2.0	Amend	Corporate Governance	30 November 2023
3.0	Amend	Corporate Governance	29 January 2025



# Appendix 1

## Corporate document matrix

		Column 1 Document Name	Column 2 Characteristics	Column 3 Document Approver	Column 4 Document Owner	Column 5 Document Maintainer	Column 6 Publication	Column 7 Criteria/Examples/Notes (if applicable)
Why		<b>Legislation</b>	Act of Parliament or a Regulation	Federal and State Parliament	Federal or State Government	Federal or State Government	<a href="#">Federal Register of Legislation Home - Queensland Legislation - Queensland Government</a>	Local Government Act 2009  Local Government Regulation 2012
		<b>Local Law or Subordinate Local Law</b>	Local Law or Subordinate Local Law	Council by resolution	Director	Corporate Governance	Publicly available via Council website  Available internally through Pulse.	Local Law No 2 (Administration) 2010  Subordinate Local Law No. 3.1 (Libraries) 2003
How	Controlled Corporate Documents	<b>Strategy</b>	Outlines the long-term vision with identified goals and objectives. Will be subject specific, align to Council's vision and focused on Council related activity.	Council by resolution	Chief Executive Officer	Enterprise Portfolio Management Office	Publicly available via Council website  Available internally through Pulse.	
		<b>Plan</b>	Detailed proposal of initiatives to deliver on goals and objectives at a strategic level. A plan details the action that Council will take to deliver services in relation to a particular subject area.	Council by resolution	Director	Enterprise Portfolio Management Office	Publicly available via Council website  Available internally through Pulse.	Corporate Plan Operational Plan
		<b>Framework</b>	A basic structure underlying a system, concept or text Can be the rules, ideas or beliefs used to plan or decide something	ELT If ELT considers it appropriate, they may request that it be approved by Council resolution.	Director	Enterprise Portfolio Management Office	Available internally through Pulse.  If ELT considers it appropriate, they may request that it be made publicly available.  Council adopted frameworks must be made publicly available via Council website.	Governance Framework  Good Decision Making Framework
		<b>Policy</b>	Establishes the rules for the organisation.	Council policies – Council by resolution	Director	Corporate Governance	Council policies – publicly available via Council website.  Available internally through Pulse.	Criteria as defined in Policy Standard in Appendix 2. Example: Councilor Expenses and Facilities Policy.
				Management Directives – ELT.	Manager	Corporate Governance	Management Directives – Available internally through Pulse.  If ELT considers it appropriate, they may request that it be made publicly available.	Criteria as defined in Policy Standard in Appendix 2. Example: Vehicle Leasing

		Column 1 Document Name	Column 2 Characteristics	Column 3 Document Approver	Column 4 Document Owner	Column 5 Document Maintainer	Column 6 Publication	Column 7 Criteria/Examples/Notes (if applicable)
With	Resource Documents	<b>Process</b>	A process is a series of tasks and activities that produce an outcome. A process provides a big picture overview of what needs to be done to achieve an outcome.	Manager	Manager	Branch	Promapp	Credit card end to end process
		<b>Procedure</b>	A procedure is a set of step-by-step instructions for completing a single task or activity within a process.	Manager	Manager	Branch	At the discretion of the Document Maintainer. Most likely to be where relevant team keeps its procedures.  If a procedure contains information that impacts the general public, consideration should be given to making it publicly available via the Council website.	
		<b>Guideline</b>	A guideline may set out recommended practices or principles to guide actions and decisions.	Manager	Manager	Branch	At the discretion of the Document Maintainer. Most likely to be where the relevant team keeps its procedures.  If a guideline contains information that impacts the general public, consideration should be given to making it publicly available via the Council website.	This does not include any statutory guideline or the Acceptable Request Guidelines (which take effect as a Council Policy).
		<b>Supporting Documents</b>	<b>Standard</b> – establishes minimum expectations with respect to a particular subject matter. A standard may include guidance on decision-making on that particular subject matter.	Manager	Manager	Branch	The Buzz (Resources)	
			<b>Fact Sheet</b> – contains essential information about a specific subject. It acts as a brief summary or overview in relation to a particular subject matter.	Manager	Manager	Branch	The Buzz (Resources)	
			<b>Form</b> – a document that is used to collect specific information. Can include an on-line application form and request for information.	Manager	Manager	Branch	The Buzz (Resources)	
			<b>Template</b> – a sample document or precedent from which you can build upon.	Manager	Manager	Branch	The Buzz (Resources)	

		Column 1 Document Name	Column 2 Characteristics	Column 3 Document Approver	Column 4 Document Owner	Column 5 Document Maintainer	Column 6 Publication	Column 7 Criteria/Examples/Notes (if applicable)
Who	Instruments	<b>Instrument of Delegation</b>	An instrument that delegates a statutory power or function to a delegate.	Council by resolution or Chief Executive Officer	Chief Executive Officer, Director, Manager or Program Leader (with delegation to do so)	Corporate Governance	Available internally through Pulse.  Note: at the CEO's discretion, the Delegations Register may be publicised on Council's website	
		<b>Instrument of Authorisation</b>	An instrument that authorises an <b>authorised employee</b> to carry out a non-statutory action or function.	Mayor, Chief Executive Officer or Director	Director, Manager or Program Leader	Corporate Governance	Available internally through Pulse.	(AUTH0009) Financial Authorisation Limits
		<b>Instrument of Appointment</b>	An instrument that either appoints a Local Government Worker or an Authorised Person to exercise statutory functions or powers.	Chief Executive Officer, Director or Manager (acting under delegation as may be appropriate)	Chief Executive Officer, Director, Manager or Program Leader	Corporate Governance	Available internally through Pulse.	

\*\* The documents indicated with an asterisk are exempt from the naming conventions, on the basis that they reflect usual terminology for documents of that type.



## **Appendix 2**

# **Policy Standards**

## 1. Purpose of policies and Management Directives

Policies and Management Directives are adopted to ensure that Council can meet its statutory obligations and strategic objectives. These standards are aimed at ensuring that Council's policies and management directives are current, consistent and practical.

## 2. Principles

A policy/management directive establishes the rules for the organisation and are primarily:

- principles based
- designed to:
  - satisfy Council's legislative obligations
  - provide transparency about a strategic objective of Council and how that is to be achieved
  - manage strategic and operational risks
  - provide transparency regarding decision-making, particularly as they impact upon residents of the Logan community.

A policy should not take the place of another form of Council corporate documents, including a framework, strategy or local law.

## 3. Policy categorisation

Each policy is categorised as either a Council Policy or a Management Directive, determined using the following criteria.

<b>Council Policy</b>	<ul style="list-style-type: none"> <li>• Is there a legislative requirement that Council have a policy of this type? Example: Section 191 of the <i>Local Government Regulation 2012</i> provides that Council must prepare and adopt an investment policy.</li> <li>• Does the policy contain rules or standards that directly impact Councillors? Example: The Insurance and indemnity for councillors policy is not required by legislation, however directly impacts councillors.</li> <li>• Does the policy contain criteria for decision making that impacts the community and should be made available for transparency purposes? Example: The Grants to Community Organisations Policy should set out the eligibility criteria, and factors taken into consideration in deciding whether a community organisation is able to access a Council grant.</li> <li>• Does the policy contain rules or standards in respect of the sustainable development, management of assets and infrastructure, or the delivery of effective services by Council? Example: A policy in relation to Council's environmental conservation partnerships.</li> <li>• Does the policy contain rules or standards in respect of social inclusion or community engagement? Example: A policy in relation to cultural diversity.</li> <li>• Does the policy contain rules or standards that govern ethical and legal behaviour at Council (extending to Councillors, councillor advisors and employees)? Example: A policy relating to contact with lobbyists.</li> </ul>
<b>Management Directive</b>	<ul style="list-style-type: none"> <li>• Does the management directive contain rules or standards that govern the ethical and legal behaviour of employees in the workplace? Example: A management directive relating to procedures for managing grievances by one employee about another.</li> <li>• Does the management directive contain rules or standards that govern the benefits, entitlements, or remuneration available to council employees? Example: A management directive providing employees with leave without pay.</li> <li>• Does the management directive contain rules or standards that govern the organisation's obligations in the management of employment conditions? Example: A management directive regarding the prevention of workplace bullying, sexual harassment and unlawful discrimination.</li> <li>• Does the management directive contain rules or standards that govern the behaviour and conduct of employees when interacting with the public? Example: A management directive relating to managing complaints against staff.</li> <li>• Does the management directive govern council systems, council processes that are internal, or use of council-owned assets by employees. Example: A management directive relating to information security.</li> </ul>

## 4. Drafting conventions

Customer-centric	A policy or management directive should be drafted to allow for ease of reading and understanding having regard to the customers of that document e.g. adopt plain-English writing.
Definitions	<p>Where words are used consistently throughout a policy or management directive, a definition should be included. This may include a definition from legislation.</p> <p>Definitions must be listed alphabetically.</p> <p>Where a term is defined, it is to be bold and italicised in the body of the document.</p>

Legislation	A policy/management directive should refer to relevant legislation, but not re-state it.
Naming	A policy/management directive name must be concise and clearly identify the subject matter of the document.
Numbering	The following numbering conventions are to be adopted in each policy/management directive: <ul style="list-style-type: none"> <li>1. Heading</li> <li>1.1 Sub-Heading <ul style="list-style-type: none"> <li>(a) Clause <ul style="list-style-type: none"> <li>(i) Sub-clause <ul style="list-style-type: none"> <li>• Dot point</li> </ul> </li> </ul> </li> </ul> </li> </ul>
Resource documents	A policy or management directive can reflect that the organisation will draft and publish associated <b>resource documents</b> (including processes and procedures, guidelines, standards, application forms) however should not contain step by step process and procedure.
Review cycles	Policies and management directives must be reviewed on a regular basis. Each document will have its review cycle determined through the application of a review risk assessment.
Tables	Officers should consider the use of tables/checklists to include in policies and management directives, if they will provide additional clarity.
Template	The policy and management directive template approved by the Corporate Governance branch is to be used for the creation of new documents or adopted on any review of a current document.
Writing and style guide	Policies and management directives must be drafted consistent with Council's Writing and Content Style Guide and this standard.

## 5. Roles and Responsibilities

- Directors assume responsibility for the review and currency of documents of which they are the **document owner**.
- Branch Managers and Program Leaders assume responsibility for proposing new policies/management directives and amendments to existing documents, having regard to their areas of operation.
- The Corporate Governance branch are the subject matter experts in Council policy and the **document maintainer**. Corporate Governance will:
  - provide **document owners** with prompts to review existing policies/management directives, on the basis of an established review schedule having regard to legislative and other documented requirements
  - document and maintain processes and procedures for:
    - proposing a new policy or management directive
    - developing a new policy or management directive (once a concept is approved)
    - reviewing existing policies and management directives
  - partner with branches in development, creation and review of policies and management directives
  - maintain registers consistent with statutory obligations, including the review cycle
  - be responsible for version control, maintenance and publication.

## 6. Document Control

A policy or management directive can only be amended in the same manner by which they are approved e.g. an amendment to a Council policy can only be approved by Council resolution.

The only exception is that the Corporate Governance Manager is authorised to amend any policy or management directive to give effect to:

- amendments to position titles and reporting lines
- updates to corporate branding
- references to legislation
- grammatical and typographical errors.

Administrative updates made under this clause will be recorded in the document control table for transparency.

## 7. Definitions

Definitions in this standard have the same meaning as the Corporate Documents Governance Policy.