

## **POLICY 035/2015 RAADSBELEID**

ONDERWERP: POLICY FRAMEWORK

VERWYSING: 1.B

BESLUIT NR: 16.11/12/2015

DATUM: 3 Desember 2015

### PURPOSE

To ensure a wide approach to the development, approval, implementation and review of Policies, Procedures, Guidelines and Codes of Practice at the //Khara Hais Municipality.

The aim is to ensure that the Municipality has a set of Policies, Procedures, Guidelines and Codes of Practice which:

- comply with legislative requirements;
- meet the Municipality's administrative and compliance needs;
- are consistent and integrated with each other;
- are practical and easy to implement;
- are appropriately approved and reviewed.

This framework applies to all Policies, Procedures, Guidelines and Codes of Practice of the //Khara Hais Municipality.

### The need for Policies

- (a) Policies govern the Municipality's practice and support the achievement of the //Khara Hais Municipality's mission and objectives. Policies also support the achievement of quality outcomes and reduce institutional risk.
- (b) Municipality's Policies should be relevant, transparent in their intention and meaning, and developed in consultation with the key stakeholders. They should comply with the requirements set out in this Policy Framework.
- (c) This Policy Framework covers the Municipality's processes for the drafting, approval, implementation and review of Policies, Procedures, Guidelines and Codes of Practice which are of the Municipality - wide significance.
- (d) Matters which have a more limited application or scope (i.e. matters that apply only to a particular division, department, organisational area, management unit or to members of //Khara Hais Municipality dealing with a particular area) require formulation and approval by the head of that area.
- (e) The latest approved version of all Municipality Policies, Procedures, Guidelines and Codes of Practice will be stored in the Policy Database on the //Khara Hais web site and IMIS system.
- (f) Documents in the Policy Database will be considered the authoritative source. Individual organisational unit websites will always link to this source.

### DEFINITIONS

**Policy:** A Policy sets out the Municipality's position on a specific matter and requires a certain line of action to be taken, although it does not necessarily detail that line of action. Policies are formally documented and approved by Council or under its delegated authority. Procedures form part of policies.

**Procedure:** A Procedure sets out, often in a step-by-step manner, the way in which the Municipality undertakes appropriate or best practice. Procedures sometimes elaborate on, and give effect to, a Statute, Regulation or Policy. Compliance with Procedures is required. Procedures are approved variously by Committees and Council. Procedures form part of policies.

**Guidelines:** Guidelines embody the Municipality's current view of appropriate or best practice. They are not necessarily set out in a step-by-step fashion, though they are sometimes associated with, and give effect to a Statute or Policy. It is expected that they will be complied with, and any departure from the Guidelines will need to be explained or justified. Guidelines are approved variously by Committees and Council. Guidelines form part of policies and describe the need for the relevant policy.

**Code of Practice:** A Code of Practice sets out minimum expectations and best practice. Codes may be established internally, or may have an external source such as government legislation or adoption by a relevant professional body with the power to regulate. Internal Codes of Practice would normally be approved by Council. Relevant external Codes are established by an external regulatory body or by government. Compliance with all Codes of Practice is mandatory.

**Responsible Official:** This is the person who is responsible for policy matters. He/she has the responsibility for identifying the need for policy and for ensuring that the Policy is dealt with in terms of this framework.

## POLICY CONTENT

### 1. Principles

Principles is a short summary of the need for the policy.

### 2. Policy Development

For an overview of the development process, go to the Checklist for Developing Policies, Procedures and Guidelines.

#### (a) Drafting

- (i) Municipality Policies, Procedures, Guidelines and Codes of Practice should be consistent with any relevant legislation, and any other Policies, Procedures, Guidelines and Codes of Practice dealing with similar or related subject matter.
- (ii) Responsible Officials will use the Policy Development Template to ensure consistency in documentation.
- (iii) Policies, Procedures, Guidelines and Codes of Practice should be drafted in plain English or Afrikaans, concise, consistent and appropriate for their audience.
- (iv) Policies should be:
  - (i) Developed in accordance with the Policy Framework.
  - (ii) Approved by Council.
- (v) Procedures, Guidelines and Codes of Practice should be:
  - (1) Developed in accordance with the Policy Framework.

- (2) Consistent with the Policies to which they refer.
- (3) Reviewed and approved by the Policy Sponsor.
- (4) Approved by Council.

(b) Consultation

- (i) Responsible Officials should ensure appropriate consultation occurs to give consideration to the views of stakeholders likely to be affected by, or to have an interest in, the Policy.
- (ii) If feedback leads to significant changes to the Policy, a second period of consultation should be considered.
- (iii) Once the appropriate consultation has taken place, the Responsible Official should submit the final Policy to the relevant committees and for approval by Council.

(c) Communication and Implementation

- (i) All Policies must include an implementation plan and communication strategy that sets out how the Policy will be disseminated within the Municipality.
- (ii) Communication is best achieved through a variety of channels, including via staff meetings, e-mail and Staff Bulletin notices. It is often necessary to use a variety of channels, because staff may not always be accessible via certain channels.

3. Approval Pathway

- (a) Policies shall be workshop by Council.
- (b) Policies shall be approved by the Council, Policies which affects the community shall first be approved in principle, so that the policy can be communicate to the community for inputs/comments. Thereafter the policy is tabled to council with the comments/input for consideration, amendments, if necessary and approval.
- (c) All newly in principle approved Policies will be referred back to the Responsible Official who shall then proceed with the public participation process.

4. Review

- (a) Approved Municipality Policies, Procedures, Guidelines and Codes of Practice should be reviewed two calendar years from the date they take effect and every two years, except if required otherwise by legislation.
- (b) Reviews will be completed by the Responsible Official. The purpose of the review is to ensure that information is current and accurate, and that the Policy, Procedure, Guidelines or Code of Practice is widely understood and achieving its intended purpose.
- (c) In some circumstances, such as a legislative change, the review will need to occur prior to the review date.

5. Amendments to Policies

- (a) During the life of a policy, or as a result of a Review, amendments may need to be made to a Policy.

(b) Minor Amendments

- (i) A minor amendment to a policy or procedure is a change to a current policy or procedure that is not substantive and that does not alter the effect, responsibility, meaning or intent of all or any part of the policy or procedure. Examples of minor amendments include a position or title change; updating links; or adding new or amending existing supporting documents.
- (ii) Minor amendments to policies and procedures can occur outside the policy review cycle.

(c) Major Amendments

- (i) A major amendment to a policy or procedure is a change to a current policy or procedure that is likely to affect or alter the effect, responsibility, meaning or intent of all or any part of the policy, procedure or related policies, stakeholders, aligned procedures or systems.
- (ii) Major amendments should follow the procedures.
- (iii) Any amendments should be tabled to the Council for approval.

6. **Records Management**

- (a) The latest approved version of all Policies, Procedures, Guidelines and Codes of Practice will be stored on a centrally controlled policy database accessible through the Municipality Imis system.
- (b) Previous versions will be stored in the appropriate Records Management system.
- (c) Those on the Policy Database will be considered the authoritative source. Individual organisational unit websites will always link to this source.
- (d) Responsible Officers should maintain a record of issues related to Policies, Procedures, Guidelines and Codes of Practice for consideration during subsequent reviews.

7. **Responsibility**

**APPENDIX A**      **Responsible Officer - Responsibilities**

- Ensures that all Policies / Procedures / Guidelines developed in their area of responsibility meet the requirements at this Framework.
- Ensures that appropriate consultation has taken place before seeking formal approval for any new Policies / Procedures / Guidelines / Codes of Practice.
- Ensures that a record of issues relating to Policies / Procedures / Guidelines / Codes of Practice in their area is maintained, to be used to inform subsequent policy reviews.
- Conducts Policy reviews as required by the Framework to ensure that these Policies / Procedures / Guidelines / Codes of Practice in their area are accurate, widely understood and achieving their intended purpose.
- Ensures policy content that needs revision is edited and re-posted in the Policy Database. The Responsible Officer may choose to undertake training to edit

Policy / Procedure / Guideline / Code of Practice content themselves, or delegate responsibility for editing content to a suitably trained administrative staff member.

- Maintains oversight of all Policies / Procedures / Guidelines / Codes of Practice within their portfolio of responsibilities that are published in the Policy Database.
- Acts as a source of information on the Policies / Procedures / Guidelines / Codes of Practice in their area.

## **RELATED POLICIES, PROCEDURES AND FORMS**

### **APPENDIX B      Policy Template**

POLICY 021/2015 RAADSBELEID

ONDERWERP:

VERWYSING:

BESLUIT NR:

DATUM:

PURPOSE:

POLICY PHILOSOPHY AND PRINCIPLE

GUIDELINES

PROCEDURE

ROLES

RELATED POLICIES

REPEAL

This policy replaces any previous policy in this regard."