

Governance Framework 2016

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1. Introduction

The City of Joondalup (the City) requires a corporate governance framework to be able to provide services and facilities, by proper and democratic government, to the broad range of people who have a stakeholder interest in the region, including residents, commercial and retail business, workers, and local, national and international visitors.

Governance is an important concept and impacts on all sectors of the community. The practice of good governance is increasingly seen as critical for ensuring that:

- the organisation meets legal and ethical compliance
- decisions are made in the interests of all stakeholders
- the organisation behaves as a good corporate citizen should.

There are a range of benefits that can be derived from the development and implementation of an effective governance framework in local government. These include:

- providing clear guidelines for the roles of the Council, Elected Members and the CEO, ensuring that all responsibilities are properly allocated and performance expectations are well understood
- enshrining best practice in relation to 'board processes' (which are relevant to the elected Council)
- assisting Council and the CEO in delivering good governance
- ensuring legal and ethical compliance
- influencing processes throughout the organisation by setting guidelines for strategic planning at all levels
- acting as a point of reference for disputes
- assisting as an induction tool for new Elected Members and employees.

The principles and practices of good governance and guiding documents plot the specific processes of decision-making and by which the City is directed, controlled and held to account. Good governance ensures that the City is able to manage its many complex responsibilities effectively in the best interests of the community.

For an organisation to demonstrate good governance, there needs to be a clear understanding about responsibility and accountability. This *Governance Framework* has been produced to set out the roles of Elected Members and the organisation, and their relationships, along with financial, legal and ethical considerations.

The City's framework consists of four key principles required to achieve excellence in governance:

- **Culture and Vision.**
- **Roles and Relationships.**
- **Decision-making and Management.**
- **Accountability.**

Each principle is divided into sub-categories where the theory of the principle is explained and then how the theory is put into action at the City.

This framework has been developed with reference to documents previously produced regarding the concept and practice of good governance (please refer to the Reference section of this document).

2. Definitions

Term	Meaning
Act	The <i>Local Government Act 1995</i> .
Audit	The inspection or examination of a City activity or facility to evaluate or improve its appropriateness, efficiency or compliance.
Business Unit	A functional work group of the organisation that consists of a Manager and employees that perform particular functions of the City.
CEO	The Chief Executive Officer who is most senior employee in the organisation. The CEO is appointed by and directly accountable to the Council.
City	The local government of the City of Joondalup and includes the Council and the organisation.
Community	The entire population within the City of Joondalup district. It also extends to those who work or invest in the district, or visit the area for recreational or similar reasons. (See also section 3.2 – Community defined.)
Committee member	A member of a committee appointed by the Council but does not include an Elected Member.
Council	The Elected Members meeting as a Council under the Act.
Councillor	An individual elected representative of a local government, but does not include the Mayor.
Committee	A Committee of Council established by Council under the Act and constituted by Elected Members, employees or members of the public.
Council meeting	A meeting of Council conducted in accordance with the Act.
Director	A senior position in the organisation engaged by and directly responsible to the CEO. Classified as a senior employee under the Act.
District	The area of the State prescribed by legislation that a local government is required to control.
Elected Members	The Mayor and Councillors of the City.
Employee	A person employed by the local government in accordance with the Act.
Executive Leadership Team	The CEO and directors.
Joondalup 2022	The City's <i>10 Year Strategic Community Plan</i> adopted by Council in accordance with the Act.
Local government	A body corporate established under the Act.
Manager	An employee in the organisation directly accountable and responsible for a Business Unit of the organisation.
Mayor	A person elected by the community to hold the position as the leader of the local government under the Act.
Natural justice	The right to be given a fair hearing and the opportunity to present one's case, the right to have a decision made by an unbiased or disinterested decision maker, and the right to have that decision based on logically probative evidence.
Organisation	Includes employees of the local government, lead by the Chief Executive Officer.
Regulations	The <i>Local Government (Administration) Regulations 1996</i> .
Rules of Conduct	The <i>Local Government (Rules of Conduct) Regulations 2007</i> .
Senior management	Means the CEO, Directors and Managers.
Stakeholders	Individuals and organisations that have an impact on the strategic direction and decision-making processes of the City.
Strategic Financial Plan	Long-term financial plan summarising the financial impacts of the objectives and strategies in the <i>Strategic Community Plan</i> .
Strategic Community Plan	The overarching plan that provides strategic direction for all activities and guides the development and provision of the City's services and programs.
Ward	A part of the City's district that delineates an electoral boundary.

3. Local Government Defined

Local government in Western Australia is established under the Act and is the third sphere of government in Australia. Local government has legislative responsibility for many functions and activities that are relevant to a local community. As the level of government often seen as the 'closest' to the community, local government activities relate to matters that are fundamental to people's lives and impact strongly on their quality of life.

Under the Act each local government throughout the State is established as a corporate body, with perpetual succession and a Common Seal. It has the legal capacity of a natural person which means that it can sue and be sued.

A local government consists of a Council – comprised of Elected Members, and an organisation – consisting of the CEO and employees.

The Mayor and Councillors are the City's Elected Members and form the Council, and the following principles apply:

- Elected Members are able to exercise decision-making authority as a member of Council after they are elected and formally sworn in and when they meet as a Council.
- All lawful decisions are made at Council meetings or through delegations that are formally made by Council to the CEO, an employee or a committee. The CEO can also on-delegate decision-making authority to other employees. However not all decisions made by the City require formal delegation.

The CEO is the only employee appointed by Council and is therefore ultimately accountable to Council. In this regard the role of the CEO, as detailed in section 5.41 of the Act, includes, but is not limited to:

- advising the Council in relation to the functions of the local government
- implementing Council's decisions
- managing the day to day operations of the local government and the services that the local government provides for its community
- liaising with the Mayor on the local government's affairs and its performance
- being responsible for the employment of the local government's employees.

The City's directors are designated as senior employees for the purposes of section 5.37 of the Act. All City employees are accountable to the CEO.

3.1 Functions of local government

In order to consider the issue of good governance in the context of local government, it is also necessary to consider the functions of local government which includes the following:

Planning and monitoring achievement

Planning for the development and wellbeing of the community is a critical role for a local government. The Act requires local governments to develop and adopt a 'plan for the future', which sets overall direction for the City through long-term planning. Examples include the City's *10 Year Strategic Community Plan*, the *20 Year Strategic Financial Plan* and the *Five Year Corporate Business Plan*. The City's *Integrated Planning Framework* provides the direction for the ongoing management of City activities.

Lawmaking and enforcement

A local government makes decisions in areas over which it has legislative authority but cannot duplicate or contradict federal or state law. Laws made by local governments are called local laws and cover such issues as the activities permitted on public land, animal management and use of local government facilities. Local laws are enforced by employees.

A local governments is also responsible for enforcing other legislation under which it has authority.

Administrative

The City has a range of responsibilities under state legislation and administers laws that affect a person's rights and interests. Decisions made by local governments must be based on relevant considerations and facts, be procedurally fair and follow the principles of natural justice.

Policy development

An important role of Council is to make policy decisions on behalf of the community. An essential element of policy making is identifying community needs, setting objectives to meet those needs, establishing priorities between competing needs, and allocating appropriate resources. A policy is a decision of Council and sets out agreed views and direction concerning a particular area of responsibility.

Representation

In a general sense, when Council meets it represents the views of the local government constituents on matters of concern to the community. Elected Members represent the interests of electors, ratepayers and residents of the district. Elected Members need to listen to and be interested in the wider community and not just the people in the ward who elected them.

Advocacy

Local governments have a role advocating on behalf of their community to other spheres of government, statutory authorities and private interests whose activities may have an impact on the community.

Service delivery

Local governments must ensure that services are delivered in the most efficient and effective manner. The Act provides a degree of autonomy to local governments to determine policies, in consultation with their communities, about the nature and level of services provided. A local government should ensure the delivery of quality services for which it has responsibility.

3.2 Community defined

An appreciation of the term community is integral to an understanding of what constitutes good governance at a local government level. When discussed in connection with good governance the term is often used as though it is a homogenous entity and presupposes that there is a single community interest, community demand or community need.

The population within the City of Joondalup district consists of a large number of communities, for example, the business community, the educational community, the visitor community and the resident community. These can be further broken down into subsets, for instance, the retail community, the developer community and the tenant community. Additionally, local communities can be defined by geographical area.

Often such diverse communities do not share the same aspirations, goals and interests. One of the challenges for all levels of government but particularly local government, is how to govern so that different, and often competing interests are recognised, addressed and managed.

When 'community' is referred to in this framework, it means the many groups, individuals and interests represented within the City of Joondalup district.



4. Governance in Local Government

4.1 Definition of governance

Whilst the definitions of governance can vary between the public and private sector, CPA Australia in its publication *'Excellence in Governance for Local Government'* defines governance as follows:

Governance is the process by which decisions are taken and implemented, the process by which organisations go about achieving their goals and producing their outputs and the process by which organisations are directed, controlled and held to account.

Governance can be seen as encompassing:

- authority
- accountability
- stewardship
- leadership
- ethics and values
- culture.

Democratic governance occurs when governments govern as a result of being elected. Good democratic governance exists when a government governs for and on behalf of its community as a whole. This provides the democratic basis, which is essential to an understanding of good governance in the local government sector.

Good governance involves a focus on:

- a clear vision and positive organisational culture
- clarity of roles and responsibilities
- robust management practices and systems which support both internal and external accountability
- public access to decision-making and information.

4.2 Good governance in local government

Good governance in local government is about ensuring the local government is able to manage its many complex responsibilities effectively and in the best interests of the community. When a local government practices good governance, the community is more connected and engaged, appropriate services are provided and there is more effective use of the local government's resources.

Good governance in local government combines the characteristics of good governance and the definitions and roles of local government. Good governance in local government requires the following:

- Councils being elected by, representative of, and accountable to the community.
- Elected Members making decisions on behalf of and in the best interests of the community as a whole.
- Policies and programs reflecting the mandate local governments have been given by their electors.
- Policy enactment arising from the *Strategic Community Plan* with appropriate performance management to assess the local government's progress.
- Community participation in decision-making.
- Elected Members providing leadership to the community and reflecting the community's collective aspirations.
- A management structure which implements the local government's goals in accordance with the local government's priorities and approved budget.
- Provision of services which meet the community's needs (sometimes in partnership with other levels of government, business or community organisations).
- Local government being well placed to facilitate coordination and integration at a local level.
- Cooperation between local governments and other spheres of government.

4.2.1 Good governance in practice

Good governance needs to be practised within the local government, and between the local government, the community and other spheres of government. Key internal and external issues include:

Internal

- Effective and positive working relationships.
- Sound, relevant and timely advice.
- Advice is provided through reports, briefings, strategic sessions and other means of communication.
- Good processes that contribute to good decisions.
- Decisions are made that are clear, accountable and transparent.
- Elected Members need timely and quality information in order to perform their role. Processes are required to meet the legitimate information needs of Elected Members.

External

- To ensure that a local government and its community share a sense of direction and purpose, long term planning is vital. This must be done in a way that all stakeholders feel they have ownership.

- Performance management enables a local government to be accountable to its community. It assesses whether a local government has done what it said it would do with the resources with which it has been provided, and within the defined time frames.
- Balancing 'community-wide' and sectional interests is central to democratic governance.
- Accountability of a local government to its community is a key factor in good democratic governance.
- Good governance means a community feels engaged, knows what is going on, is included in decision-making, and feels part of the governing process.
- Informed decisions are based on well-researched information, and some of the best information comes from the opinions of those who are affected by a decision or interested in an issue. Good consultation methods are needed to elicit these opinions.
- Another important aspect of good governance is community leadership. Sometimes local governments need to lead or influence communities on particular issues.
- Communities expect good services, systems and facilities to be planned and provided.



5. Governance Principles

For the purposes of the City's *Governance Framework*, the principles contained in the 'Excellence in Governance in Local Government' developed by CPA Australia have been adopted. The principles provide the foundation for good governance and a means for assessing the extent to which good governance is occurring at the City. Contained under each principle in the following sections are a range of activities and actions put into operation at the City to support that particular principle.

Principle One: Vision and Culture

There is a clear vision and a *Strategic Community Plan* that is produced through a comprehensive and inclusive process, which is owned by all sectors of the community.

There is a positive culture and value system in place that promotes trust, openness and honesty, in which constructive and respectful questioning is encouraged and accountability is clear.

Principle Two: Roles and Relationships

There is clarity about the roles within a local government and there exists a sophisticated approach to defining and implementing these.

There are effective working relationships that are promoted and supported within and between the Elected Members, the CEO and the organisation.

Principle Three: Decision-Making and Management

There are effective decision-making processes in place that reflect the transparency and accountability which underpin excellence in local government.

An adequate organisational structure should be in place that serves the City's operations and progresses the organisation towards the achievement of the City's strategic objectives.

There should be robust and transparent business management practices established and maintained to meet the City's accountability to its community, particularly in terms of stewardship of community assets and finances, both now and into the future.

An effective approach to the identification, assessment, monitoring and management of risks should be established and maintained.

Effective delegations should be implemented and maintained to enable Council to focus on strategic issues.

Principle Four: Accountability

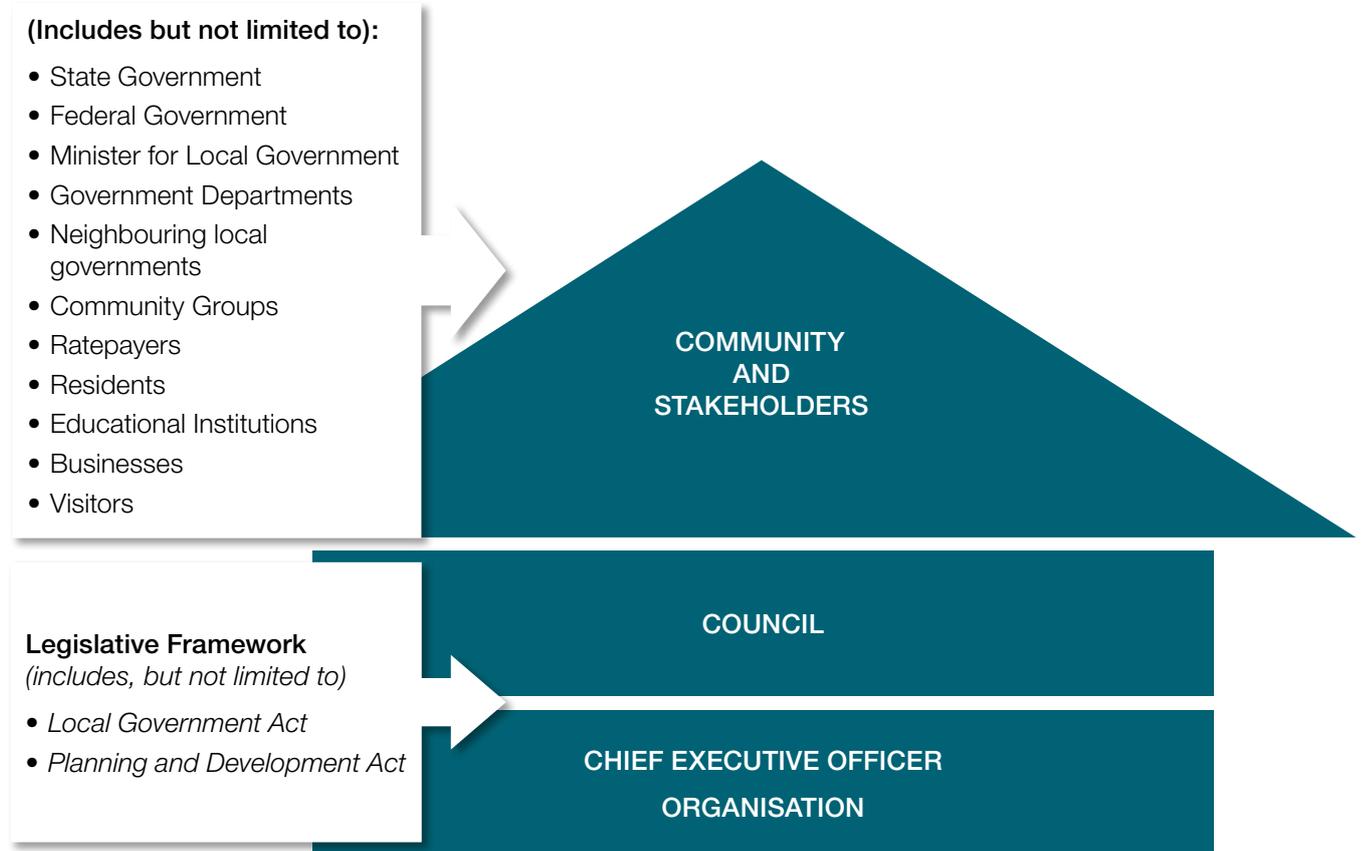
The City must account for its activities and have systems and processes that support accountability. The City should have an active performance management system in place that enables Elected Members and employees to be openly accountable for their performance.

The City should establish internal structures that provide for independent review of processes and decision-making to assist it meeting its accountability to stakeholders.

Consultation should be undertaken that is appropriate to the scope and potential impact of the matter. It should respect the position and opinion of all sections of the community. The outcomes of the consultation should be taken into account when the decision is made and feedback should be provided to those who participated.

6. Governance Framework Diagram

Chart 1 – Governance Framework Diagram



GOVERNANCE PRINCIPLES

VISION & CULTURE	ROLES & RELATIONSHIPS	DECISION-MAKING & MANAGEMENT	ACCOUNTABILITY
Clear Vision & Strategic Community Plan	Clarity of Roles & Responsibilities	Effective Decision Making & Processes	Accountability for Activities
Values & Ethics	Understanding and Agreement on Roles	Transparency & Disclosure	Performance Management
Positive Culture	Working Relationships	Organisational Structure	Compliance & Reporting
		Effective Organisational Management	Consultation & Engagement
		Risk Assessment	Access to Information
		Legislative Framework	



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7. Principle One: Vision and Culture

7.1 Vision

7.1.1 Vision and values

The City's 10 Year *Strategic Community Plan* (known as *Joondalup 2022*) articulates the City's vision as being 'A global City: bold creative and prosperous'.

In alignment with this vision, the City believes the following primary values should be inherent within any well-functioning and community-driven organisation:

Transparent - We facilitate appropriate levels of scrutiny by recording our decisions and making them accessible.

Accountable - We accept responsibility for our actions and decisions that are within our control.

Honest - We earn and sustain public trust by being honest and open in all our actions and always acting in the public interest.

Ethical - We demonstrate moral behaviour that is free from corruption.

Respectful - We treat people fairly and objectively and without discrimination.

Sustainable - We manage our natural resources and public assets adaptively, ensuring equitable outcomes for future generations.

Professional - We demonstrate strong skills and good judgement and behaviour in delivering our services.

Joondalup 2022 has identified the following distinguishing values to guide the direction and operations of the City into the future:

Bold - We will make courageous decisions for the benefit of the community and future generations.

Ambitious - We will lead with strength and conviction to achieve our vision for the City.

Innovative - We will learn and adapt to changing circumstances to ensure we are always one step ahead.

Enterprising - We will undertake ventures that forge new directions for business and the local economy.

Prosperous - We will ensure our City benefits from a thriving economy built on local commercial success.

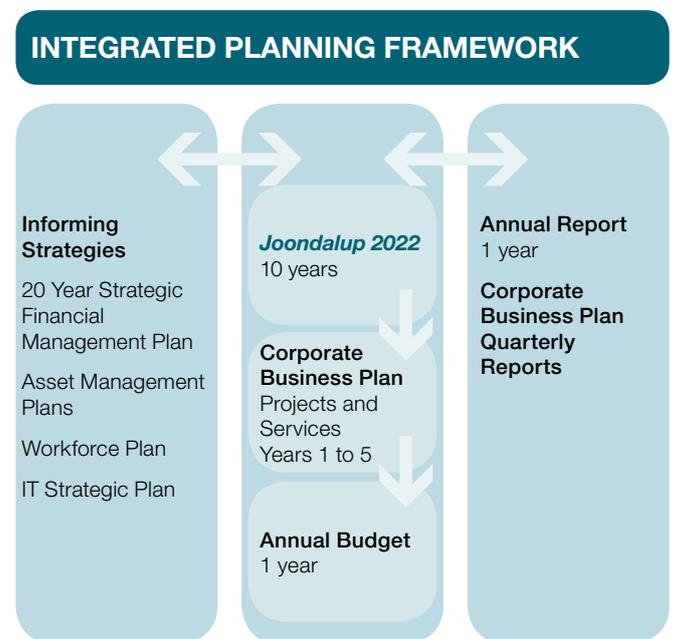
Compassionate - We will act with empathy and understanding of our community's needs and ambitions.

Good governance is achieved when Council, Elected Members and employees show leadership and reflect the above values. Values shape an organisation's culture and are the fundamental beliefs the City considers to be important; are relatively stable over time; and have an impact on Elected Member and employee attitudes and behaviour.

7.1.2 Integrated Planning Framework

To ensure the City's vision permeates throughout the organisation, the City has developed an Integrated Planning Framework that aligns with the Department of Local Government's *Integrated Planning and Reporting Framework*. This approach ensures that the City's planned activities and resourcing requirements over an extended period of time align with the City's vision and strategic priorities, thereby forwarding the opportunity for the City's vision in becoming a reality.

Integrated Planning Framework Diagram



Joondalup 2022 is the over-arching document within the City's Integrated Planning Framework, articulating the City's vision and setting the highest level of direction for the City for the next ten years. It outlines strategic priorities around key themes of:

- Governance and leadership
- Financial sustainability
- Quality urban environment
- Economic prosperity, vibrancy and growth
- The natural environment
- Community wellbeing.

High-level plans enable the key themes in *Joondalup 2022* to be more comprehensively articulated. Actions in these plans are measured against key performance indicators, which enable the City and the community to gauge success in the implementation of strategic priorities and objectives.

7.2 Culture

A positive culture promotes openness and honesty, makes accountability and responsibility clear and encourages debate on important issues. It is also more likely that the organisation will retain high caliber employees who want to work and participate in the activities of the City. The City's culture should consist of the following elements in pursuit of excellence in governance:

7.2.1 Support for frankness, honesty and questioning

Elected Members are to debate issues openly and honestly. Employees are to provide frank and timely advice to the CEO and Directors, who in turn are to provide sound and frank advice to Elected Members and Council.

7.2.2 Innovation

The City considers new and better ways of going about its business in the achievement of its goals, through innovation which will be assessed critically by using appropriate risk management and other analysis.

The City has dedicated itself to encouraging a climate of innovation and continuous improvement and has adopted the Australian Business Excellence Framework as one of the means by which to assess the City's progress towards achieving its goals.

7.2.3 Effective management structures and practices

The City is to have a management structure that meets its goals and needs and the structure is characterised by efficient and effective use of human resources with clear accountability.

Management practices and protocols reinforce accountability and outcomes and must also incorporate the nurturing of people's capacities to do their jobs.

7.2.4 Communication and engagement

The City is to have effective communications policies, practices and protocols, internally and externally, and be open to, and encourage, feedback from all stakeholders and the community.

7.2.5 Ethical standards of behaviour

For people to have confidence in those who govern and participate in the governance process, they must have trust that governments are acting for the common good. People need to believe that governance is characterised by honesty and integrity and that those in government will behave accordingly.

The Act requires that every local government prepare or adopt a *Code of Conduct* to set out the standards of behaviour expected to be observed by Elected Members, committee members and employees.

The City's *Code of Conduct* outlines the principles, values and behaviours expected of all Elected Members, committee members and employees. It is not intended to control or prohibit the actions of Elected Members, committee members or employees, but simply to document the standards of conduct expected of all who serve the community.

The community are entitled to expect that the following general principles be used to guide Elected Members, committee members and employees of the City in their behaviours:

- Act with reasonable care and diligence.
- Act with honesty and integrity.
- Act lawfully.
- Avoid damage to the reputation of the City.
- Be open and accountable to the public.
- Base decisions on relevant and factually correct information.
- Treat others with respect and fairness.
- Not be impaired by mind affecting substances.

The *Local Government (Rules of Conduct) Regulations 2007* (Rules of Conduct) provide a disciplinary framework to deal with individual misconduct by Elected Members. The Rules of Conduct provide a mechanism to take action against individual Elected Members where they do not comply with the 'rules' or they contravene particular laws applying to them in legislation.

The Rules of Conduct prescribe uniform rules of conduct for Elected Members in relation to:

- standards of general behaviour
- use of confidential information
- securing personal advantage or advantaging/ disadvantaging others
- misuse of local government resources
- prohibition against involvement with the organisation
- relations with employees
- disclosing interests that may affect impartiality
- receipt and disclosure of gifts of a prescribed value.

The Rules of Conduct do not limit the provisions within the City's *Code of Conduct*, however, the Rules of Conduct, the Regulations as well as the City's local law relating to meeting procedures are enforceable and disciplinary action can be taken for any breach.

7.2.6 Confidentiality

Local government business involves significant amounts of confidential information being supplied or maintained. This information could be about commercial matters, individuals or businesses or legal issues. The Act, Regulations and the Rules of Conduct detail how general information and confidential information is to be treated, accessed and used by Elected Members and employees.

The *Code of Conduct* also states the following in relation to disclosure of confidential information:

“Elected Members, Committee Members and employees must not disclose to another person, written or oral information that is provided to them, or obtained by them, in confidence, or derived from a confidential document, or acquired at a closed Council meeting or committee meeting.”

This is in addition to provisions in the Act concerning confidentiality and to the Rules of Conduct discussed above.

7.2.7 Disclosure of conflicting interests

The nature of the City’s business may result in conflicts of interests arising between an individual’s personal interests and the performance of their public or professional duties. Conflicts of interests may arise from a number of sources, including friends, relatives, close associates, financial investments, past employment and the like. Conflicts of interests are not necessarily wrong, however it is not only important to ensure that real or potential conflicts are handled appropriately, but also perceived conflicts of interest.

Elected members, committee members and employees are to comply with the requirements for disclosure of interests as prescribed in the Act, the Rules of Conduct and the City’s *Code of Conduct*.

Elected Members, committee members and employees of the City must ensure that there is no actual or perceived conflict between the fulfilment of their public or professional duties and their personal interests, which may include the interests of those persons closely associated to them.

7.2.8 Acceptance of gifts

The City’s *Code of Conduct* and the Rules of Conduct contain provisions in respect of Elected Members, employees and committee members seeking and/or accepting certain types of gifts and gifts of a certain value while performing in their respective roles.

Both the *Code of Conduct* and the Rules of Conduct detail the disclosure requirements for gifts accepted in a full and transparent manner. Elected Members and employees cannot accept gifts valued at \$300 or more from any person that is undertaking, seeking or likely to undertake, an activity involving the City’s discretion.

The Act also requires Elected Members and “designated employees” (that is employees with delegated authority) to disclose other type of gifts and contributions to travel received over a certain value.

All disclosures must be made to the CEO in a prompt and full manner and in writing within the appropriate register. These registers are made available for public inspection.

7.2.9 Comprehensive induction programs

The City’s objective of a positive work culture is communicated to Elected Members and employees through effective induction programs. Induction and training for Elected Members is provided to assist in understanding the functions and role of local government, governance in local government and how to operate effectively to produce good outcomes for their community.

The City’s induction programs for both Elected Members and employees focus on:

- the differing and complementary roles of Elected Members and employees
- working relationships
- decision-making processes
- responsibility, accountability and delegations
- conduct and ethical standards of behaviour
- functions, services and activities of the City
- organisational values and culture.

7.2.10 Learning and training opportunities

The City invests in training both for Elected Members and employees and the learning will be focused on what is required to achieve organisational goals. Training for Elected Members and employees is important and opportunities are offered to assist in the development of skills required to fulfil their roles.



8 Principle Two: Roles and Relationships

8.1 Roles

An understanding and acceptance of the different roles of Mayor, Councillors and employees, with cooperation between all parties, underpins good governance at the City. The relationship between Elected Members and the CEO respects the diversity of opinion and the rights of all points of view to be heard with courtesy and respect.

The Mayor has a general leadership role for Council and is the City's civic leader. The Act recognises the role of the Mayor, as the spokesperson for the City, to carry out civic and ceremonial functions of the mayoral office, and to preside at meetings of Council. The City places great importance on the role of the Mayor as the Presiding Member of Council to facilitate good decision-making.

The Mayor's leadership role is very important when it comes to good governance. The Mayor is to ensure that all Councillors are a part of the decision-making process and are well and equally informed. The Mayor must also assist Councillors to understand the need to represent the interests of the entire community, not just their Ward constituents.

The Mayor should also facilitate good relationships between the Councillors and the organisation and help to create an environment where good communication thrives.

Elected Members are to focus on outcomes, policy and strategy, and in so doing, are expected to:

- be representative of and advocate on behalf of their constituents at the Council level
- facilitate communication between Council and the community
- debate the issues in an open, honest and informed manner to assist the decision-making process
- keep the entire community in mind when considering and addressing issues and focus on the 'big picture'
- educate and involve the community in all local government activities and processes
- work together, cooperate and respect diversity
- provide model leadership.

The Act recognises the CEO's role in managing the organisation to achieve the goals and strategies endorsed by Council, and the CEO is expected to fulfill these duties in a way that promotes an organisational culture of openness, accountability, fairness and good communication.

The general function of local government as prescribed in the Act is 'to provide for the good government of persons in its district'. This general function in conjunction with other expressed powers set out in the Act is the basis of the City's powers. The Act sets out a

framework for the way in which local governments are to operate and also specifies the roles and responsibilities that are to be undertaken by various parties within a local government.

Specific roles are given to the Council, the Mayor, Councillors and the CEO.

8.2 The role of Council

Under the Act the Council is charged with the following responsibilities:

- Governs the City's affairs.
- Is responsible for the performance of the City's functions.
- Oversees the allocation of the City's finances and resources.
- Determines the City's policies.

The following guidance is provided on the range of scope of the above responsibilities:

Governs the City's affairs

This role encompasses strategic planning activities to ensure the continued sustainability of the City, the setting of strategic objectives for the City and the monitoring of the City's performance against these strategic objectives.

Is responsible for the performance of the City's functions

This role determines that Council has ultimate responsibility for the performance of the City's functions. Council can exercise this responsibility through the development of appropriate mechanisms including delegations of authority, the provision of services and facilities, and regular reporting against strategic objectives.

Oversees the allocation of the City's finances and resources

The Council exercises this role by overseeing and adopting an Annual Budget and the City's long term financial plan. Council is advised by the CEO who is also responsible for the development of appropriate financial controls, management protocols and practices.

Determines the City's policies

The role of Council in setting policy is most effective when it is linked with a professional organisation that implements these policies through the development of appropriate management protocols and work processes. The policies of Council provide the direction for the ongoing management of City activities.

8.3 Role and responsibilities of the Mayor

While there are a number of provisions within the Act outlining the role and functions of the Mayor it should be understood that the Mayor is a key civic leader of the community. In the pursuit of good governance, from an internal and external perspective, the Mayor performs an important function. The Mayor is elected to represent the views and directions of Council in the performance of the role.

Section 2.8(1) of the Act defines the role of the Mayor as follows:

The Mayor:

- (a) *Presides at meetings in accordance with the Act.*
- (b) *Provides leadership and guidance to the community in the district.*
- (c) *Carries out civic and ceremonial duties on behalf of the local government.*
- (d) *Speaks on behalf of the local government.*
- (e) *Performs such other functions as are given to the Mayor or President by the Act or any other written law.*
- (f) *Liases with the CEO on the local government's affairs and the performance of its functions.*

The Mayor also has the following role, which is similar to Councillors as outlined in section 2.10 of the Act:

- (a) *Represents the interests of electors, ratepayers and residents of the district.*
- (b) *Provides leadership and guidance to the community in the district.*
- (c) *Facilitates communication between the community and the Council.*
- (d) *Participates in the local government's decision-making processes at Council and Committee meetings.*
- (e) *Performs such other functions as are given to a councillor by the Act or any other written law.*

The role of the Mayor can be categorised as:

- Governance.
- Presiding Member of Council.
- External relations.
- Media liaison and public relations.
- Supporting the community.
- Civic and ceremonial.

The 'Governance' and 'Presiding Member of Council' functions of the Mayor are critical to good governance as they cover leadership of the City and the community, and ensure that the decision-making processes are fair, equitable and inclusive.

The Mayor should be seen to support good governance by modelling good behaviour and ethics in fulfilling their leadership role. The Mayor has a pivotal role in both the pursuit and demonstration of good governance.

A very specific role that the Mayor has is in representing and advocating the decisions of the Council. Section 2.8(1)(d) of the Act provides that the Mayor speaks on behalf of the City.

The position of Mayor is pre-eminent and when they speak they are considered by the community to be articulating the Council's views. The Mayor must put aside any individual views and clearly outline the views of a Council decision in an all-inclusive way.

Where the Mayor desires to speak contrary to the position of Council, he or she should clearly preface their comments that they are expressing an individual opinion and not on the Council's behalf.

The Mayor's role of presiding at meetings of the Council is a very responsible one in achieving a balance of opinion and outcomes that demonstrates leadership by Council in the community. The most important aspect of the role is a good understanding of meeting procedures and a detailed knowledge of the requirements relating to the conduct of meetings.

This will enable the Mayor to provide impartial interpretations and to ensure the smooth flow of the meeting's business.

As a community leader the Mayor represents the City at many civic and ceremonial functions including the role as "host" of many City activities. The Mayor should be familiar with etiquette and protocol arrangements and familiarise themselves with the expectations of greeting guests in a formal manner. Any speeches made on these occasions should not be used to present a point of view contrary to a decision of Council.

8.4 Role and responsibilities of the Deputy Mayor

Section 5.34 of the Act states the Deputy Mayor may perform the functions of the Mayor if:

- (a) *the office of Mayor is vacant*
or
- (b) *the Mayor is not available or is unable or unwilling to perform the functions of the Mayor.*

8.5 Roles and responsibilities of the Elected Members

It is necessary to understand the legislative framework within which the Elected Members operate and from where they derive specific details of their roles and responsibilities.

An individual Elected Member has no authority to make decisions or to participate in the day-to-day management or operations of the City. This includes making any form of representation on behalf of the Council or the City, unless they are specifically authorised by Council to do so. Regulation 9 of the Rules of Conduct also prevents Elected Members from undertaking tasks that contribute to the administration of the local government unless so authorised by the Council or the CEO.

Elected Members have no direct authority over employees with respect to the way in which they perform their duties.

Section 2.10 of the Act outlines the role of Councillors as follows:

A Councillor:

- (a) *Represents the interests of electors, ratepayers and residents of the district.*
- (b) *Provides leadership and guidance to the community in the district.*
- (c) *Facilitates communication between the community and the Council.*
- (d) *Participates in the local government's decision-making processes at Council and Committee meetings, and*
- (e) *Performs such other functions as are given to a Councillor by the Act or any other written law.*

The Council and Elected Members have a number of roles to undertake. One of the challenges for good governance from an Elected Member viewpoint is to be provided with the opportunity to raise specific issues so as to get a fair hearing. The Mayor and CEO all have an important role to play in this process as well as the fellow Elected Members.

8.6 Role and responsibilities of the CEO

The functions of the CEO are outlined in section 5.41 of the Act. The CEO's range of functions are defined as follows:

- (a) *Advise the Council in relation to the functions of a local government under the Act and other written laws.*
- (b) *Ensure that the advice and information is available to the Council so that informed decisions can be made.*
- (c) *Cause Council decisions to be implemented.*
- (d) *Manage day to day operations of the local government.*

- (e) *Liaise with the mayor or president on the local government's affairs and the performance of the local government's functions.*
- (f) *Speak on behalf of the local government if the Mayor or President agrees.*
- (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).*
- (h) *Ensure that records and documents of the local government are properly kept for the purposes of the Act and any other written law.*
- (i) *Perform any other function specified or delegated by the local government or imposed under the Act or any other written law as a function to be performed by the CEO.*

The CEO has a statutory responsibility to manage the organisation through the implementation of goals and strategies that have been approved by Council.

A significant role of the CEO in promoting good governance is through the development of a culture that sees the Council as the peak decision-making body and that the organisation exists to support Council in the delivery of good governance.

A key accountability of the CEO is financial management. While Council has overall accountability, the CEO has critical responsibilities for managing the organisation soundly from a financial perspective and reporting the results and performance to Council.

The Act enables Council to delegate in writing to the CEO, the capacity to exercise any of its powers or duties, with the following exceptions:

- (a) *Actions in which a decision of an absolute majority or a 75% majority of the Council is required.*
- (b) *Acceptance of a tender, which exceeds an amount as determined by the Council*
- (c) *Appointment of an auditor.*
- (d) *Acquisition or disposal of any property valued at an amount exceeding an amount determined by the Council.*
- (e) *Any of the Council's powers under Sections 5.98, 5.98A, 5.99 or 5.100 (determining fees, allowances and expenses of members and Committee members).*
- (f) *Borrowing money on behalf of the City.*
- (g) *Hearing or determining an objection of a kind referred to in Section 9.5.*
- (h) *Authorising a person to sign documents on behalf of the City.*

- (i) Carrying out any power or duty that requires the approval of the Minister or the Governor.
- (j) Such other powers or duties as may be prescribed.

In summary the CEO is responsible for:

- putting in place appropriate systems to achieve accountability and integrity
- implementing and maintaining a management structure which can achieve Council’s vision and the *Strategic Community Plan* objectives
- managing relationships between the various elements in the City
- ensuring that the City is staffed by suitably qualified and motivated employees and that policies are in place that promote this
- ensuring that employees understand the organisation is working for a democratically elected Council and that Council decisions form the basis for the organisation’s activities.

The table below depicts the separation of roles between the Council (governing the affairs of the local government) and the CEO (managing day-to-day operations):

The following quotation exemplifies the distinction between the governance role of the Council and the management role of the CEO:

“There is a world of difference between governance and management. Governance involves the responsibility for approving the mission and goals of the institution; the oversight of its resources; the approval of its policies; ... and an informed understanding of its programs and activities. Management, in contrast, involves the responsibility for the effective operation of the institution and the achievement of its goals within the policies ... set by the board; the effective use of its resources;...the responsibility of a board is to govern but not to manage. ‘Noses in, fingers out’ remains sound and tested advice to board members.”

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8.7 Role and responsibilities of employees

Good governance requires all employees to think carefully about their decisions and actions, to be interested and to be active participants in the City’s management and outcomes. It is not only senior management and Council that is responsible for governance matters – every element that forms part of the City is responsible for good governance. The quality

Chart 3 – Separation of Roles

COUNCIL	CEO
Sets direction	Provides professional and technical advice to the Council
Responsible for the performance of the local government’s functions	Implements the decisions of Council
Decides on matters of policy	Liaises with the Mayor
Ensures that services and facilities are integrated with and do not unnecessarily duplicate other public services	Manages the day-to-day operations
Oversees the allocation of the City’s finances and resources	Responsible for the employment and management of employees
Monitors the City’s performance through the CEO to ensure efficiency and effectiveness in service provision	Monitors the performance of employees to ensure efficiency and effectiveness in service provision

of the City's governance heavily relies on each employee taking individual responsibility as well as being part of a collective team effort.

While on duty employees are to give their time and attention to the City's business and ensure their work is carried out efficiently and effectively, so the standard of work reflects favourably on them and the City.

In carrying out their duties, employees achieve good governance when:

- they reflect the positive values and standards of behaviour the City expects
- their duties are performed and conducted in a professional way
- information is managed and maintained appropriately and records are kept of their duties, decisions and work related activities
- resources of the City, including information, is used efficiently and effectively; not misused; and waste is to be minimised
- conflicts of interest are identified and reported including disclosure of gifts and benefits obtained from certain parties.

8.8 Working relationships

Elected Members are members of a team, elected by their constituents to work collectively in the interests of the whole community. Good governance is dependent on a mature and constructive working relationship between Elected Members.

Elected Members should behave in a manner that generates community trust and confidence in them as individual Elected Members and enhances the role and image of both the Council and the City. Elected Members are expected to:

- conduct their ongoing relationship with other Elected Members, employees and the community with respect and courtesy
- act within the law at all times
- act in good faith and not for improper or ulterior motives
- act in a reasonable, just and non-discriminatory manner
- undertake their role with reasonable care and diligence.

As previously referred to, the Act requires Council to prepare and adopt a *Code of Conduct* to be observed by Elected Members. Elected Members must also abide by the Rules of Conduct. The *Code of Conduct* is a public declaration of the principles of good conduct and standards of behaviour that the Council agrees individual Elected Members should conform to when carrying out their role. It also provides guidance to Elected Members about carrying out their duties and responsibilities.

8.8.1 Working relationships between the Mayor and Councillors

The relationship between Mayor and Councillors is critical to good governance and effective relationships between the Mayor and Councillors will help to achieve the outcomes within *Joondalup 2022* and to promote the credibility of the City.

In summary the important aspects of the Mayor/Councillor relationship are as follows:

- The Mayor is the Presiding Member of Council and this role should be respected by all Councillors.
- The Mayor should facilitate an inclusive approach to decision-making and involvement in Council activities in general.
- The Mayor should assist Councillors to get their issues considered by Council.
- The Mayor should take some responsibility for Elected Member training and development and should work with the CEO to ensure that Elected Members receive necessary training opportunities.
- The Mayor is a source of assistance for Councillors and also has the responsibility for facilitating resolution of any disputes between Councillors.

The Mayor as the Presiding Member of Council needs to play an integral and influential role both within meetings and outside of the formal process, by facilitating and encouraging all points of view to be expressed and respected. This will enable Elected Members, who may not have their point of view supported by the majority, be satisfied that they have been given a fair hearing and the process is transparent.

Through this facilitation role, the Mayor can manage conflict and differing opinions in a constructive manner. The complexity and diversity of opinion in the community, and therefore of Elected Members, can be made to work in the broader interest of the City as a whole, rather than be a source of division.

The Mayor is also a first point of contact for Councillors who wish to achieve a particular goal and this is especially true for newly elected Councillors who may be unfamiliar with a local government setting. Among other things, the nature of any local government business involves the need to bring together many diverse and sometimes-conflicting goals. By advising, supporting and facilitating negotiations, the Mayor can assist this process considerably, and in so doing, assist Councillors to meet their accountabilities to their communities.

This advisory and support role of the Mayor for other Councillors is possibly the single most important contribution to good governance a Mayor can make. It requires great skill and experience and as such, is critical to the overall operation of Council.

8.8.2 Working relationships between the Mayor and CEO

The Mayor and CEO work closely together and the relationship should be characterised by openness and good communication, with each keeping the other informed about important and relevant issues.

Both the Mayor and the CEO have a role in liaising with each other on the City's affairs and the performance of the City's functions. However this liaison is qualified in that any liaison between the Mayor and the CEO is only relevant to those matters that enable each party to perform their statutory role.

Both parties have a crossover of responsibilities in speaking on behalf of the City. While this right rests with the Mayor there are occasions when it is considered prudent and more applicable for this function to be undertaken by the CEO. As such these matters involve the development of a clear relationship and an understanding of the limits of each other's authority.

While the Act does not detail how the liaison is to occur, this liaison function should be seen in the context of the separation of powers described in the Act, between the governing role of Council and the managing role of the CEO.

The Mayor and the CEO are to adopt an approach that suits their particular circumstances and needs. The overall essential principles that should be followed are the ability to effectively communicate and to have a large degree of trust in each other as well as respecting each other's opinion and role.

The essential principles for an effective Mayor/CEO relationship are as follows:

Communication

- Both parties are in a position to brief and inform the other about information each is privy to and which would assist the other in performing their role. Deciding on what information is important and what should be passed onto each other must be negotiated and understood.
- Regular meetings – over and above those scheduled to discuss specific issues or problems – are necessary to enhance planning and communication.
- The 'no surprises' principle should apply. The Mayor and CEO should brief one another so that neither is caught off guard within other forums.

Role clarity

- The Mayor and the CEO need to understand and respect one another's role. A clear understanding of their different roles is absolutely crucial and should be a subject of ongoing discussion.

- There is a differential of power, which should be acknowledged. While the Mayor has status and leadership capacity, the position has no direct authority in its own right. On the other hand, the CEO has direct authority through the Act. Elected Members cannot just 'fix' problems that come to their attention, while the CEO has this capacity.

Features of a good and effective relationship between the Mayor and the CEO are:

- The need to work closely together and put energy into achieving a good working relationship.
- A relationship characterised by consistency, openness and good communication. Each has the responsibility to keep the other informed about important and relevant issues. Open communication ensures that an understanding develops about what is important and relevant.
- An understanding that each has different roles and authorities. While the Mayor is the civic leader of the City, this position has no specific authority while the CEO has particular authorities under the various sections of the Act.
- The need for the relationship between the Mayor and the CEO should aim to facilitate involvement and inclusion among the Elected Members and the organisation. It does not seek to concentrate power in the relationship.
- Consistent communication and regular fixed meetings.

8.8.3 Working relationships among Elected Members

When thinking of a Parliament, people often envisage an adversarial environment in which political groupings try to beat their opponents through debate. In contrast, the 'small group' nature of Council ideally features an environment where good relationships, respect and an appreciation of constructive diversity, lead to good decision-making.

All Elected Members have issues of particular concern and interest to them. Given the open nature of the local government system and the absence of a political party structure which exist at the State and Federal levels of government, Elected Members need to work together to achieve satisfactory outcomes.

Given this interdependency, Elected Member relationships should be characterised by mutual respect and an acknowledgement that, while they may not agree on all issues, they are all doing important and often difficult work.

At times, the very nature of local government business leads to conflict. How this conflict is addressed has implications for good governance. The role of the Mayor has been discussed, and this role, together with an appreciation of the particular dynamics at play, should assist in facilitating good governance.

With regard to behaviour at Council and committee meetings, Elected Members should model good constructive relationships and show personal respect for one another.

There is not the requirement to agree with every Elected Members' opinion, but there is the need to respect those opinions and allow other members to be free to express their point of view.

Elected Members need each other to achieve their individual and collective goals. Effective relationships between Elected Members assist in achieving a successful Council, a pleasant working environment and a Council with public credibility.

Features of an effective relationship include the following:

- While they may have different views, Elected Members should treat each other with respect and courtesy.
- Disagreements, if they must be aired, should be expressed in ways that are not personal attacks, and do not cause detriment to individual Elected Members or the Council as a whole.
- Elected Members should not undermine each other, either within the local government or in the public domain.
- Elected Members must have effective working relationships in order to succeed individually and collectively.

8.8.4 Working relationships between Elected Members and CEO

One of the most complex issues in local government that is critical to good governance is the relationship between the Elected Members and the CEO.

Elected Members need support to manage pressures in such a way that their constituents feel their issues or concerns are being heard, but also need to appreciate that their demands cannot always be met. Advice and support on consultation and engagement, good systems that refer requests and queries to the relevant area for advice, and responsive services and processes all assist in furthering good governance.

Elected Members need to understand that the role of the CEO is to implement Council's goals, strategies and manage the City's services as well as advise and support Council.

The CEO and Elected Members are likely to be in regular contact about issues, concerns and information. As with the Mayor/CEO relationship, a level of trust needs to be fostered which in turn, is based on good communication and understanding of each other's role and function.

A number of factors contribute to a good relationship between Elected Members and the CEO. These include:

- goodwill
- a clear understanding of each other's roles
- good communication
- agreed structures and protocols
- an appreciation of legislative requirements
- clear delegation of authority.

While the Elected Members and the CEO have different roles, this is not to say that each does not have a legitimate interest in the other's role. It is crucial that appropriate channels for information, discussion and consultation be developed to allow for each other's interests to be discussed freely and openly shared.

8.8.5 Relationships between Elected Members and employees

Local governments often grapple with the issue of direct contact between individual Elected Members and employees versus contact through the CEO and Directors.

Individual Elected Members must not seek to foster special relationships with employees for the sole purpose of seeking information that may not otherwise be available to all Elected Members. Elected Members and employees are entitled to privacy and protection from inappropriate behaviour and this includes un-authorised access to the organisation's work area.

Some issues to consider in respect of this relationship include the following:

- Elected Members need to understand that accountable advice needs to go through an organisational process. Advice must be sought from the CEO or Directors. Elected Members should not seek advice from other employees as the employee may have a particular interest or point of view in respect of the issue, but may not be in command of the full facts.
- Employees are accountable to the CEO. They are not accountable to Elected Members and are not required to take direction from them.

The point above has been made clear as a result of regulation 10 of the Rules of Conduct which specifically deals with the relationship between Elected Members and employees.

10. Relations with local government employees

- (1) A person who is a Council member must not -
- (a) direct or attempt to direct a person who is a local government employee to do or not to do anything in the person's capacity as a local government employee; or
 - (b) attempt to influence, by means of a threat or the promise of a reward, the conduct of a person who is a local government employee in the person's capacity as a local government employee.
- (2) Subregulation (1) does not apply to anything that a Council member does as part of the deliberations at a Council or Committee meeting.
- (3) If a person, in his or her capacity as a Council member, is attending a Council meeting, Committee meeting or other organised event and members of the public are present, the person must not, either orally, in writing or by any other means -
- (a) make a statement that a local government employee is incompetent or dishonest; or
 - (b) use offensive or objectionable expressions in reference to a local government employee.
- (4) Subregulation (3)(a) does not apply to conduct that is unlawful under The Criminal Code Chapter XXXV.

8.9 Elected Member access to information

One of the areas that can cause issues for Elected Members is their ability to access information held by the City. Section 5.92 of the Act provides that an Elected Member can have access to any information held by the City that is relevant to the performance of their functions under the Act or any other written law.

However this provision does not give an Elected Member an automatic right to have access to all records held by the City as any information must be relevant to the performance of an Elected Member's role.

In this respect requests for information held by the City are to be referred to the CEO who is to determine if the information is to be released, on the basis that he or she is satisfied that the requested information is relevant to the Elected Members' role and functions.

Notwithstanding, section 5.96 of the Act provides that if any person can inspect certain information then Elected Members may also request a copy of that information. An Elected Member is also entitled to be given access to records that are accessible to other persons under the *Freedom of Information Act 1992*.

8.10 Effective relationships - summary

The information in this section provides an insight into the role Elected Members, the CEO and employees need to play in developing effective relationships.

There are fundamental role differences between the Council, Elected Members, the CEO and employees. The focus of Council and Elected Members should be on strategy, policy and outcomes. That is, who is to benefit from the City's activities and in what way. The CEO and employees role is to focus on advice, implementation and operations.

Taking into account these role differences, the features of an effective relationship between the Elected Members and the CEO and employees are:

- a mutual understanding, acceptance and respect for each others' roles
- a preparedness to identify, discuss and resolve issues and problems if and when they arise
- on the part of the organisation, a respect for and commitment to democratic governance and the primacy of Council in the local government structure.

9. Principle Three: Decision-Making and Management

9.1 Effective decision-making

Decision-making is the most important activity undertaken by the City, both by Council and by employees. Effective decision-making processes increases the likelihood that the decisions themselves will be in the best interests of the entire community. The Council can only make decisions by resolution, that is, a motion being considered at a properly convened meeting and passed by the required majority vote.

Many of the decisions made by the City (including Council and employees) are subject to administrative law, and therefore subject to challenge or appeal.

The principles of administrative law are:

- to act in good faith
- to take into account only relevant considerations
- to act reasonably
- to provide procedural fairness.

An important role of the CEO is to ensure that Council receives quality and timely advice and relevant information to enable informed and effective decisions to be made. At meetings, this includes ensuring that all reports presented include the necessary background information and detail; any options; any financial or legal impacts; and any associated risks. Council decisions need to have clarity and that clarity arises from the recommendations in reports from the CEO. The decisions made at meetings provide the direction and authority for the ongoing operation of the City and give direction to the CEO to act.

9.2 Decision-making forums and processes

9.2.1 Council meeting schedule

Council operates the following four weekly meeting cycle, (except in January when Council is in recess):

Week 1 - Strategy Sessions

Strategy Sessions provide a forum for two-way communication between Elected Members and the CEO on strategic or complex issues. The sessions are open to all Elected Members, the CEO and other employees designated by the CEO to attend as required. Strategy Sessions are not open to members of the public.

Week 2 - Briefing Sessions

Briefing Sessions are used to inform Elected Members on the items of business to be presented and discussed at the forthcoming Council meeting. Briefing Sessions are open to the members of the public, and question and statement time is permitted. Questions and statements must relate to an item on the current agenda. A member of the public may request to present a deputation to the Elected Members relating to an item on the agenda. Deputations are received on the same evening as the Briefing Session and at the commencement of the meeting. No decisions are made at Briefing Sessions although Elected Members may request additional information or may request alternative wording for motions to be prepared for possible consideration at the future Council meeting.

Week 3 - Council Meetings

Council meetings are formal meetings of Council as defined under the Act and are required to be open to the public, although under certain conditions, meetings can be closed when Council considers certain items of business as prescribed by the Act. In order to promote transparency and accountability required for good governance, the closure of meetings should be applied as infrequently as possible.

Good decision-making at a Council meeting is enhanced when the meeting is well run. This requires a clear and informative agenda, good chairing and facilitation by the Presiding Member adherence to meeting procedures and adherence to statutory requirements. There should also be a strong commitment to Council meetings being open to the public so that the community is fully informed and, where appropriate, involved in the decisions and affairs of Council.

Elected Members, the CEO and Directors attend all Council meetings.

Week 4 – No scheduled meetings

The fourth week of the meeting cycle does not have any scheduled forums or meetings. This week is traditionally kept free to allow any special or urgent meetings of Council or committee, other functions or other forums, to be held.

9.2.2 Committee meetings

To assist with its decision-making responsibilities, Council is able to establish committees from time to time. The work of committees is significant in local government due to the wide range of activities and functions of Council. Committees report to Council and are subject to the requirements of the Act and the City's meeting procedures for meetings.

When a Council establishes a committee, it must determine the reporting and other accountability requirements that are to apply in relation to that committee.

Committees may comprise of:

- Elected Members only
- Elected Members and employees
- Elected Members, employees and members of the community
- Elected Members and members of the community
- employees and members of the community
- or
- members of the community only.

The role and tasks of committees are varied however committees are generally established to:

- inquire into matters and to provide and make recommendations to Council on matters within Council's responsibilities
- carry out a specific project or task on behalf of Council
- or
- exercise, perform or discharge delegated powers, functions or duties.

The list below details the current internal committees of the City of Joondalup Council:

- Audit Committee
- Chief Executive Officer - Performance Review Committee
- Finance Committee
- Major Projects Committee
- Policy Committee.

Committees meet as and when required and make recommendations to Council however where a committee has delegated authority, it is able to make a decision in its own right.

9.2.3 Working groups and reference groups

Council may also establish working groups or reference groups as a mechanism for facilitating and improving community participation in the City's decision-making process.

While not formally established under legislation, working groups and reference groups provide an opportunity for the City to obtain the views of community representatives as well as enabling networking opportunities for Elected Members with a wide range of representatives on issues of common interest. The opportunity to obtain such views assists Elected Members and Council to address strategic issues and priorities.

Working groups and reference groups make recommendations to the organisation, who in turn detail those recommendations and comments within the formal report to Council or a committee on a particular issue or topic.

Council has established:

- an Ocean Reef Marina Community Reference Group to assist it in the dissemination of information related to the Ocean Reef Marina Project
- a Strategic Community Reference Group that provides advice and assistance to Council on matters of significant community interest and strategic initiatives.

9.2.4 Agendas and minutes

The level of decision-making and transparency needed for good governance requires comprehensive meeting agendas and minutes to be prepared. Matters to be considered at meetings of Council or committees are to be presented in an agenda prepared by the CEO. Agendas comprise of reports prepared by the organisation. Reports are structured to include information on the background, details, summary and funding of the proposal under consideration. All reports are the professional advice of the organisation and contain recommendations as to the most appropriate course of action to take based on the information presented.

The decision to adopt, amend or reject a recommendation rests with Council, or in some cases a committee (if it has delegated authority). Where a Council or committee decision is different to that which has been recommended, reasons for that decision must be stated and recorded.

Agendas are made available to Elected Members and the public before the Briefing Sessions and Council meetings. Where a committee is open to the public, committee agendas are also made available.

Unconfirmed Council and committee minutes are to be made available to the public. The minutes of a meeting (other than confidential items presented at the meeting for discussion) and include attendances, all motions, their movers and seconders and the decisions that have been made.

9.2.5 Apologies and leave of absence

An important function of an Elected Member, when being a part of the governing body of Council or a committee, is to attend and participate in the decision-making processes at meetings.

Elected Members who are going to be absent from a meeting of Council or a committee should submit an apology. For extended periods of absence, Elected Members should apply to Council to grant leave of absence for that extended period.

Leave of absence is not to be granted to an Elected Member in respect of more than six consecutive ordinary meetings of the Council without the approval of the Minister, unless all of the meetings are within a period of three months.

An Elected Member who is absent, without first obtaining leave of the Council, throughout three consecutive ordinary meetings of the Council is disqualified from continuing his or her membership of the Council unless all of the meetings are within a two month period.

9.2.6 Meeting procedures and conduct

The Council has adopted a local law that provides a set of enforceable meeting procedures and rules to:

- ensure better decision-making of council and its committees
- assist in the good and orderly conduct of meetings
- greater community understanding of the business of the Council.

Elected Members are to familiarise themselves with the meeting procedures as any breaches may result in the matter being referred to the Local Government Standards Panel.



9.3 Decisions on land use planning and development

9.3.1 Administrative role

The City has particular decision-making responsibilities under planning legislation, other state laws and planning policies.

The Council and employees are therefore responsible for applying and assessing factual situations and circumstances against the legislative regime detailed in the Act, the *Planning and Development Act 2005* and other relevant planning laws.

The controls and procedures for assessment of development applications are set in place by a statutory framework and the City is responsible for undertaking this role in accordance with the planning legislation and any other relevant laws.

The City is required to decide on planning matters in an unbiased manner that satisfies the principles of administrative law and natural justice / procedural fairness. Elected Members must exercise their decision-making discretion over planning matters in a way that is mindful of this responsibility.

The City employs specialist planning officers to prepare reports and provide Council with all the relevant information and facts of a particular planning matter and the relevant legislative provisions that are applicable.

There may be some occasions when Elected Members feel that they do not have enough information to make a decision and the best time to get additional information is prior to the meeting by contacting the CEO or relevant Director.

Council, in determining planning matters must take care to ensure that the following principles are adhered to:

- (a) Elected Members must read the report on the matter before voting at a Council meeting. An Elected Member who has not read the report and who participates in the decision-making process without a full understanding of the issues at hand may jeopardise the validity of the decision-making process.
- (b) Elected Members must ensure when they debate a planning matter under consideration that they restrict themselves to the relevant matters of fact and law. These relevant matters will be contained and addressed in the report. Where Council conducts a debate on a matter that is based on irrelevant considerations, or fails to take into account relevant considerations, this may jeopardise the validity of the decision-making process.
- (c) Council must be careful when making a resolution that is different to the organisation's recommendation. In resolving differently from the recommendation, Council is required to include reasons for the variation from the recommendation.

- (d) These reasons must take into account the relevant considerations of fact and law and must not be based on irrelevant considerations.
- (e) If a development has the potential to impact on neighbours and/or the locality, and where a statutory obligation exists, the City has a duty to ensure that consultation occurs in relation to that development. The report of the organisation is to include details of any neighbour notification or consultation that has occurred. The City must ensure that neighbours who may be adversely affected by a proposed development have had an adequate opportunity to make a submission and that any relevant matters that they raise have been considered in the decision-making process. An opportunity to make a written submission is generally sufficient, though an opportunity to make a submission in person to a relevant meeting may be appropriate where a person with a sufficient interest requests it.

Any submission must be made on the basis of planning principles. Council has the role of testing submissions, whether made by the applicant or another party, and the applicant must be accorded a right of reply.

Generally, Council as a body, and each Elected Member individually, must be certain that they have a clear understanding of the relevant facts and law before making a decision. This decision must be based on the relevant considerations and facts and should not take into account irrelevant considerations.

9.3.2 Planning schemes

Under the *Planning and Development Act 2005* local governments are required to have a planning scheme in place for their respective district. A local government's planning scheme is required to be consistent with the Metropolitan Region Scheme, which is administered by the State Government and must also take into consideration State Government planning strategies, plans and policies.

A planning scheme provides a legal framework for a range of functions including:

- providing land use and development controls
- supporting housing choice, variety and amenity
- providing the mechanism for the development of convenient and attractive retail centres
- assisting economic development through facilitation of commercial, industrial and business development to maximise job opportunities
- establishing high quality open space areas and protecting areas of environmental significance
- assisting in the provision of a transport network, which serves the needs of the community by providing a range of alternative networks catering for different transport modes, which are closely integrated with land use considerations.

The provisions of a planning scheme are formulated through a collaborative and consultative process involving the State Government, the local government and the broader community. The State Government, through the Minister for Planning provides final approval to the content of a planning scheme and once published in the *Government Gazette*, the scheme comes into operation and has the force of law.

A planning scheme requires periodic review and this is to ensure that the scheme continues to meet changing community needs and expectations. This review process is facilitated by the local government and involves community input.

Amendments can be made to an operative planning scheme to vary the scheme provisions. An amendment to a scheme again involves a range of stakeholders including the local government, the State Government and the community. The Minister for Planning provides the final decision in relation to any scheme amendment.

Local planning policies are also used to support and guide the implementation of the planning scheme. These planning policies are wide and varied and range from the installation of cubby houses to the installation of telecommunication facilities. Planning policies can be developed to also provide guidance, detail and consistency of treatment with respect to amenity and other relevant planning issues.

Importantly, local government planning schemes incorporate by reference the Residential Design Codes (R-Codes), which is the planning policy of the State Government providing detailed development control for residential development. The State Government revises the R-Codes from time to time.

The role of Council in administering a planning scheme includes:

- consideration of development applications
- consideration of subdivision proposals
- consideration of Planning Scheme Amendment proposals (whether suggested by the City or by the community)
- enforcement of planning scheme provisions
- development of planning policies
- review of existing planning scheme
- formulation of new planning scheme.

Council is provided with the professional advice from specialist planning officers in exercising its role in relation to each of these matters. This advice provides Elected Members with detailed information relating to the particular planning issue requiring Council determination.



In certain circumstances applicants have rights of appeal to challenge a planning related decision of Council or an employee. It is therefore important for Elected Members to gain a full understanding of the issues and follow proper process before reaching a decision.

The State Administrative Tribunal (SAT) reviews decisions made by local governments regarding a range of matters including town planning and building approvals. Applications can be made to the SAT for a review of decisions made by local governments under a range of enabling laws.

The City's planning scheme and State planning legislation permits Council to delegate its decision-making powers to certain qualified persons or committees, subject to certain conditions. This is important in terms of allowing those applications that meet certain criteria to be determined by employees. The criteria used for determining the types of development that can be decided by employees is set out in a Notice of Delegation, which is reviewed bi-annually or earlier if so determined by Council.

All decisions made under delegated authority are binding and represent a 'Council decision'.

Delegations are necessary for good governance in order to permit:

- Council to focus on strategic matters and major developments that are beyond the Notice of Delegation
- the large volume of development applications received by the City to be dealt with in an efficient and effective manner.

9.3.3 Design Reference Panel

Council has established a Design Reference Panel, the purpose of which is to provide independent technical advice and recommendations to Council on design issues related to the more significant development applications the City receives.

The membership of the Design Reference Panel comprises members from relevant professional institutions representing:

- architecture
- town planning
- landscape architecture.

9.3.4 Development Assessment Panels

Development Assessment Panels are the decision-making body for a certain type, class and/or value of planning applications the City receives from time to time. Development Assessment Panels consist of three specialist independent members and two Elected Members nominated by the City and approved by the Minister for Planning.

Development Assessment Panels are not managed by the City but by the State Government's Department of Planning, with certain resources being provided by the City. Development Assessment Panels have their own meeting procedures and a *Code of Conduct* and all members of the panel are to abide by that *Code of Conduct*. Only the Presiding member of the panel is able to speak on decisions or matters that concern the panel.

The City's planning specialists provide technical reports to the Department of Planning, who in turn refer this report and any other information to the Development Assessment Panel, which will make a determination on the planning matter.

The City of Joondalup forms part of the Metro North-West Joint Development Assessment Panel.



9.4 Declarations of interest

One important aspect of the City's decision-making responsibilities is how conflicts of interests are identified, recorded and treated throughout the organisation. It is not only important to ensure that real or potential conflicts of interests are handled appropriately, but also perceived conflicts of interests.

Interests can be categorised as being:

- financial interests
- proximity interests
- interests that may affect impartiality.

It is an Elected Member's responsibility to decide whether or not to declare an interest.

9.4.1 Financial interests

It is a statutory obligation and duty of Elected Members and committee members to vote on every item of business discussed at meetings of Council or a committee (with delegated authority). However, an Elected Member or a committee member may be excluded from presiding and voting in the meeting if that person, or a person that is closely associated to them, has a direct or indirect financial interest in the subject under discussion.

Attention is drawn to Division 6 of Part 5 of the Act which details disclosure of financial interests in matters affecting local government decisions. This division defines financial interests, closely associated persons, and interests that need not be disclosed by Elected Members and committee members.

A member who has an interest in any matter to be discussed at a Council or Committee meeting that will be attended by that member must disclose the nature of the interest:

- (a) in a written notice given to the Chief Executive Officer before the meeting; or*
- (b) at the meeting immediately before the matter is discussed.*

(Section 5.65(1) of the Act)

A member who makes a disclosure under section 5.65 must not:

- (a) preside at the part of the meeting relating to the matter; or*
- (b) participate in, or be present during, any discussion or decision-making procedure relating to the matter, unless, and to the extent that, the disclosing Elected Member is allowed to do so under Section 5.68 or Section 5.69.*

(Section 5.67 of the Act)

Sections 5.68 and 5.69 of the Act detail the circumstances in which Council, committees and the Minister may allow Elected Members and committee members disclosing interests to participate in meetings.

Failure to comply with certain sections of the Act can result in a penalty of \$10,000 or imprisonment for two years.

The *Department of Local Government Operational Guideline No. 20 – Disclosure of Financial Interests at Meetings* provides a comprehensive guide to identifying and declaring financial interests and steps to take in safeguarding liability.

9.4.2 Proximity interests

Elected Members and committee members also have a responsibility to declare interests around matters that are in close proximity to that person's land. Section 5.60B of the Act states a person has a proximity interest in a matter if the matter concerns:

- (a) a proposed change to a planning scheme affecting land that adjoins the person's land*
- (b) a proposed change to the zoning or use of land that adjoins a person's land, or*
- (c) a proposed development of land (as defined by section 5.63(5) of the Act as being the development, maintenance or management of the land or of services or facilities on the land) that adjoins the person's land.*

Land (the proposed land) adjoins a person's land if:

- (a) the proposed land, not being a thoroughfare, has a common boundary with the person's land*
- (b) the proposed land, or any part of it, is directly across a thoroughfare from, the person's land, or*
- (c) the proposed land is that part of the thoroughfare that has a common boundary with the person's land.*

Similar to financial interests, an Elected Member of committee member with a proximity interest must disclose their interest (in accordance with sections 5.65 of the Act) and not preside or participate in discussion on the matter (section 5.67 of the Act). Although under certain circumstances the Council, committee or the Minister may allow Elected Members and committee members disclosing interests to participate in meetings.

9.4.3 Interests that may affect impartiality

Elected Members are required to disclose any interest which could, or could reasonably be perceived to, adversely affect their impartiality, and includes an interest arising from kinship, friendship or membership of an association.

The disclosing of an interest that may affect impartiality is to be made immediately before the matter is discussed at a Council or committee meeting or in a written notice given to the CEO before the meeting.

The disclosure of an interest that may affect impartiality does not affect the ability of the Elected Member to discuss or vote on the matter.

Attention is drawn to Regulation 11 of the Rules of Conduct which deals with disclosure of interests that may affect impartiality:



11. Disclosure of interest

(1) *In this regulation —*

interest means an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person having the interest and includes an interest arising from kinship, friendship or membership of an association.

(2) *A person who is a Council member and who has an interest in any matter to be discussed at a Council or Committee meeting attended by the member must disclose the nature of the interest —*

- (a) *in a written notice given to the CEO before the meeting; or*
- (b) *at the meeting immediately before the matter is discussed.*

(3) *Subregulation (2) does not apply to an interest referred to in section 5.60 of the Act.*

(4) *Subregulation (2) does not apply if —*

- (a) *a person who is a Council member fails to disclose an interest because the person did not know he or she had an interest in the matter; or*
- (b) *a person who is a Council member fails to disclose an interest because the person did not know the matter in which he or she had an interest would be discussed at the meeting and the person disclosed the interest as soon as possible after the discussion began.*

(5) *If, under subregulation (2)(a), a person who is a Council member discloses an interest in a written notice given to the CEO before a meeting then —*

- (a) *before the meeting the CEO is to cause the notice to be given to the person who is to preside at the meeting; and*
- (b) *at the meeting the person presiding is to bring the notice and its contents to the attention of the persons present immediately before a matter to which the disclosure relates is discussed.*

(6) *If:*

- (a) *under subregulation (2)(b) or (4)(b) a person's interest in a matter is disclosed at a meeting; or*
- (b) *under subregulation (5)(b) notice of a person's interest in a matter is brought to the attention of the persons present at a meeting,*

the nature of the interest is to be recorded in the minutes of the meeting.

9.4.4 Disclosure of interests of employees

Similar to Elected Member and committee members, employees should ensure that there is no actual or perceived conflict or incompatibility between the important fulfillment of the public or professional duties and either their personal interests, or those persons closely associated with them.

Section 5.70 of the Act states that where an employee has an interest in any matter in which the employee is providing advice or a report directly to Council or a committee, they must disclose the nature of the interest when giving the advice or report. There is no requirement however for employees to leave meetings where interests have been disclosed.

In situations where an employee has been delegated a power or duty by the CEO, and the employee has an interest in the matter, the employee must not exercise the power or discharge the duty and must either disclose the nature of the interest to the CEO (or should the employee be the CEO, disclose the nature of the interest to the Mayor).

The City's *Code of Conduct* also places a requirement on employees to disclose any interests, where the interest could, or could reasonably be perceived to, affect the impartiality of the employee having the interests and includes an interests arising from kinship, friendship or membership of an association. In some situations this may require the employee to disqualify themselves from dealing with a particular matter.

9.4.5 Primary Returns and Annual Returns

Section 5.75 of the Act requires Elected Members and certain employees to complete a Primary Return within three months of commencing in Office or being employed at the City.

A Primary Return can best be described as a snapshot of personal information and certain financial interests a person has at a particular point in time.

At the end of each respective financial year, Elected Members and certain employees must complete an Annual Return, which discloses any changes to the information previously disclosed in their Primary Return or new interests that have accumulated since completing their Primary Return or last Annual Return.

Primary Returns and Annual Returns assist with the decision-making process as they highlight an individual's interests at a particular point in time, thereby clarifying whether a conflict of interest may arise.

9.5 Protection from liability

Elected Members are not protected in the same manner as Members of Parliament for statements they make in the Council Chamber.

In a Council meeting, an Elected Member fulfils a public duty and is therefore given limited legal protection. However, unlike Members of Parliament, an Elected Member's privilege is qualified. This means that protection is only provided as long as the statements are made in good faith. Statements made with malice or made recklessly are not protected by qualified privilege. Statements made by Elected Members outside Council and Committee meetings are unlikely to attract qualified privilege.

Regulation 7 of the Rules of Conduct also states that an Elected Member must not make improper use of their office as an Elected Member to cause detriment to the local government of any other person. This provision has relevance to what an Elected Member can say whilst performing in their role as an Elected Member.

Division 4 of Part 5 of the Act also protects Elected Members, committee members and employees from any actions in negligence that the person has done, or has not done, in the performance of their functions under the Act or any other written law. However the City may not be necessarily protected from claims of negligence.

9.6 Legislative framework

The City is constituted under the Act and has a formal geographical area, known as a district. The general function of the City is to provide for the good government of people living and working within its district and includes legislative and executive powers and responsibilities given to it through the Act.

Overall, the Act is intended to provide excellence in governance through:

- better decision-making by local governments
- greater community participation in the decisions and affairs of local governments
- greater accountability of local governments to their communities
- more efficient and effective local government.

To allow local governments better decision-making, greater accountability and to be more efficient and effective, the Act provides a number of ways of achieving these objectives.

9.6.1 Delegations

Delegations form part of the City's decision-making approach. Delegations entrust certain types of decisions to the CEO, employees or committees.

Under the Act both Council and the CEO are given certain functions and duties to be discharged. Council may delegate authority to the CEO to perform some of its functions and duties on its behalf. The use of delegated authority means that the large volume of routine work of Council can be effectively managed and acted on promptly, which in turn facilitates efficient service delivery to the community.

Delegated authority allows Council to concentrate on policy development, representation, strategic planning, and community leadership.

The CEO may delegate to any other employee the authority to perform functions and duties that are exercisable by the CEO under the Act or that have been delegated to the CEO by Council (with the exception of the power to delegate). This accords with employees being responsible to the CEO and the CEO being responsible to Council. Similarly, the implementation of Council decisions and instructions are conducted by the CEO, who may in turn require responsibility to be undertaken by other employees of the City.

Delegations of authority are required in order to provide employees of the City with the power to exercise duties and make determinations. It is essential that the City's delegations are performed in a manner that is in accordance with the delegation and is compliant with the relevant legislation. The City is required to keep records on the exercise of its delegations and delegations by Council are to be reviewed on an annual basis.

9.6.2 The concept of 'acting through'

Not all functions or duties of the local government require formal delegation. The Act details that a local government and / or the CEO is not prevented from performing any of their functions under the Act or any other written law by 'acting through' another person.

The key difference between a delegation and the concept of 'acting through' is that a delegate exercises the delegated decision-making function in his or her own right. Where a person has no discretion in carrying out a function, then that function may be undertaken through the 'acting through' concept. Alternatively, where the decision allows for discretion on the part of the decision maker, then that function needs to be delegated for another person to have that authority.

9.6.3 Authorised persons

Under legislation, Council or the CEO (with delegated authority) can 'appoint' persons or classes of persons to perform particular functions. These persons are generally termed 'authorised persons' or some other similar term. Legislation or local laws may specify that an 'authorised person' can perform a particular function and those functions or duties are normally specified in the applicable provision.

An appointment is made, as the case requires, by either a formal resolution of the Council, or a written appointment by the CEO (with delegated authority or other employee with delegated authority), or as detailed in the specific legislation. Authorised persons are not necessarily employees with delegated authority.

Employees appointed as authorised persons are required to have a certificate of appointment or some other form of identification to confirm their appointment and to demonstrate their ability to perform that function.

Due to their position as an employee, some legislative provisions appoint all employees of a local government as authorised persons. Examples of such legislation include the *Litter Act 1979* and the *Criminal Procedures Act 2004*.

9.6.4 Local laws

Under the Act and as part of its legislative functions, Council is able to make local laws as a way of providing good governance to the community and which reflect current community standards.

The Act outlines the process by which the Council may adopt local laws. This legislative role allows the Council to adopt a regulatory regime that may be enforced through the courts, by the issue of infringement notices or by performing other executive functions to enforce the local laws. When adopting local laws the Council must be aware that they operate with the force of legislation and the City has a duty to enforce all of its local laws.

The process for making a local law provides the community with a six-week advertising period to allow opportunity for comment on proposed local law. The local law is then presented once more to Council and any public submissions are considered. Upon final adoption, the local law is published in the *Government Gazette* and reviewed by the Western Australian Parliamentary Committee on Delegated Legislation.

Local laws must also comply with the National Competition Policy principles adopted by agreement between local, state and federal governments.

The City maintains local laws relating to:

- Animals
- Bushfire Prevention and Control
- Extractive Industries
- Fencing
- Health
- Local Government and Public Property
- Parking
- Pest Plants
- Signs
- Standing Orders (Meeting Procedures).

The City is required to review all its local laws every eight years from the date they came into operation or from the date they were last reviewed. This review process also allows for community consultation and feedback.

9.6.5 Policies

Section 2.7(2)(b) of the Act states that the Council is to “determine the local government’s policies”.

Policies provide the Council and the organisation with the ability and direction to make decisions that are considered to be consistent and unbiased. A policy can also provide detail on the manner in which the City undertakes, or requires others to undertake, certain works or activities.

The Council has established the following level of policy:

- Council Policies - these are strategic policies that set governing principles and guide the direction of the organisation to align with community values and aspirations. These policies have a strategic, external focus and align with the vision and strategic direction of the City.
- City Policies - these policies are developed for administrative and operational requirements. They have an internal focus.

9.6.6 Executive functions

The Council is responsible for overseeing the executive functions of the City. The executive functions of the City are to provide services and facilities. In performing its executive functions, section 3.18 of the Act states the following:

- (1) *A local government is to administer its local laws and may do all other things that are necessary or convenient to be done for, or in connection with, performing its functions under this Act.*
- (2) *In performing its executive functions, a local government may provide services and facilities.*

A local government can, therefore, administer local laws and provide services and facilities in order to provide for ‘the good government of the district’.

A local government must satisfy itself that the services and facilities it provides:

- integrate and coordinate, so far as practicable, with any provided by the Commonwealth, the State or any public body
- do not duplicate, to an extent that the local government considers inappropriate, services or facilities provided by the Commonwealth, the State or any other body or person, whether public or private
- are managed efficiently and effectively.

9.7 Business management

The management of corporate business within an organisation is important to the concept of governance. As part of the City’s Integrated Planning Framework, the City has developed a *Five Year Corporate Business Plan*. The *Five Year Corporate Business Plan* guides internal operational activities and serves as the City’s rolling five year service and project delivery program which is aligned to the strategic direction and priorities set within *Joondalup 2022*. It also reflects actions within other informing strategies and the City’s *Five Year Capital Works Program*. Detail on specific projects and their milestones are then reported to Council and the community on a regular basis.

Business Units are required to develop yearly Business Unit Plans that operationalise the specific projects and milestones in the City’s *Corporate Business Plan* as well as other plans and operational outcomes.

9.8 Financial management

9.8.1 Role of the CEO

The CEO is accountable to Council for the financial performance of the City. The CEO must ensure that certain fundamentals are in place including, but not limited to:

- appropriate financial systems, plans, strategies and protocols
- adequate resources to support the City’s activities and financial monitoring and performance
- suitable internal review and audit mechanisms
- an organisational culture where responsibility and accountability are clearly delineated and understood
- adherence to and compliance with legislative provisions.

9.8.2 Financial management planning and principles

The Council is ultimately responsible for the financial management of the City. Good financial management requires both Council and the organisation to play their role. The City has developed a long-term financial plan (its *20 Year Strategic Financial Plan*) that is consistent with strategic initiatives within *Joondalup 2022*.

Council is to ensure that it receives sufficient reports and other information to adequately monitor its performance, resource allocation, expenditure and activities, and the efficiency and effectiveness of its service delivery.

There should be robust and transparent financial management established and maintained to meet local government's accountability to its stakeholders, particularly in terms of stewardship of community assets, both now and into the future.

There is an emphasis on the role of Council in delivering their accountability for the financial state of the City, which is accomplished through the City's Finance Committee, the role of which is to:

- oversee the progress of the City's annual capital works program and review of the City's *Five Year Capital Works Program*
- make recommendations to Council on modifications of capital works projects outside those projects of the Major Projects Committee
- make recommendations to Council on the services to be provided by the City and the standards of service delivery being cognisant of industry best practice
- oversee the City's financial management activities, funding proposals and long term strategic financial planning
- make recommendations to Council on reviews and impacts on the City's *20 Year Strategic Financial Plan*.

Council has also established an Audit Committee to oversee and advise the Council on matters of accountability and internal control.

9.8.3 Annual Budget

One of the responsibilities of Council under the Act is to prepare, set and adopt the City's Annual Budget. The Annual Budget can be viewed as the annual articulation of the City's *20 Year Strategic Financial Plan* and must also consider the priorities, projects and initiatives within *Joondalup 2022*. Based on the leadership of Council, it determines the City's priorities for each year and the allocation of resources to achieve those priorities.

Under Regulation 33A of the *Local Government (Financial Management) Regulations 1996* the City is required to conduct a review of its Annual Budget after considering the changes in its operating environment since the beginning of the financial year with a view to forecasting the financial impacts likely to arise for the remainder of the year. The review is to be conducted before 31 March each year.

9.8.4 Strategic Financial Plan

The *20 Year Strategic Financial Plan* is a high-level informing strategy that outlines the City's approach to delivering infrastructure and services to the community in a financially sustainable and affordable manner. It also demonstrates the City's commitment to managing its operations in a sustainable way that minimises the financial impact on the City's ratepayers.

The *20 Year Strategic Financial Plan* represents the primary and key strategic financial planning document for the City and has a direct bearing on the ability to plan for the future financial sustainability of the City. It represents projections and estimates, based on many assumptions and is a primary planning tool for the development of future budgets for the City. In preparing the *20 Year Strategic Financial Plan*, the Department of Local Government and Communities' Long Term Financial Planning Framework and Guidelines is used as the principal reference point in terms of form and content.

Among other things, the plan summarises the financial impacts of the priorities, projects and objectives identified in *Joondalup 2022* and assists in setting the future financial direction and decisions of the City.

The *20 Year Strategic Financial Plan* is underpinned by the following principles:

- consistency
- prudence
- transparency
- sustainability
- performance and accountability
- innovation (in accordance with *Joondalup 2022*).

9.9 Asset management

An organisation practices good governance when it manages its assets in a financially viable, efficient and sustainable manner.

One major initiative to manage the City's large asset base, particularly community and road infrastructure, is the City's Five Year Capital Works Program which plans the installation of new infrastructure as well as the renewal and replacement of existing infrastructure in a planned and prioritised way.

The City also has an Asset Management Plan and other plans that provide strategic direction in the management of City assets as well as a Property Management Framework to guide the management of all property owned or managed by the City.

9.10 Organisational structure and human resource management

Good governance is achieved when an organisational structure is in place that adequately serves the City's operations, and those operations are planned to achieve the established goals and the strategic direction set for the City. As part of their role, the CEO is to establish an organisational structure that meets these needs.

To meet the City's needs, an *Organisational Plan* has been developed that sets out what the City needs to do as an organisation to achieve its vision in *Joondalup 2022* as well as to position the City as a best practice local government with strong leadership, outstanding practices, efficient processes and systems, and a highly effective workforce.

To enable the City to continue to provide high quality services to the community now and into the future it is critical that the City develops and maintains a skilled, flexible and sustainable workforce.

In line with the Department of Local Government and Communities' *Integrated Planning and Reporting Framework* the City has developed a *Workforce Plan* to provide a strategic framework for organisational workforce planning and management. This will enable the City to attract and retain a suitable, committed and professional labour force that will ensure the City achieves its strategic priorities within *Joondalup 2022* and deliver quality services to the community.

Although Council determines the appropriate organisational structure through the annual budget process, it is the CEO's responsibility to manage the employees of the City. The organisational structure needs to allow for flexibility to adapt to changing needs. This process of planning for future workforce requirements enables the City to respond to emerging challenges before they impact on services and operations. It also facilitates the preparation of detailed budgets and a long-term financial plan that support the delivery of efficient and affordable services

All employees are required under the Act to undertake a performance evaluation each year. These evaluations assess specific job performance, behavioural indicators, business planning outcomes as well as determining an employee's training and development needs.

9.11 Records management

The City's corporate records are to be managed in accordance with the City's *Recordkeeping Plan* and *Records Management Policy*.

All Elected Members, employees and contractors are responsible for maintaining complete, accurate and reliable evidence of all business transactions and ensuring all corporate documents are retained within the City's official recordkeeping system at the point of creation regardless of the format, being in accordance with:

- *State Records Act 2000*
- *Evidence Act 1906*
- *Freedom of Information Act 1992*
- *Local Government Act 1995*
- *Local Government Accounting Directions 1994*

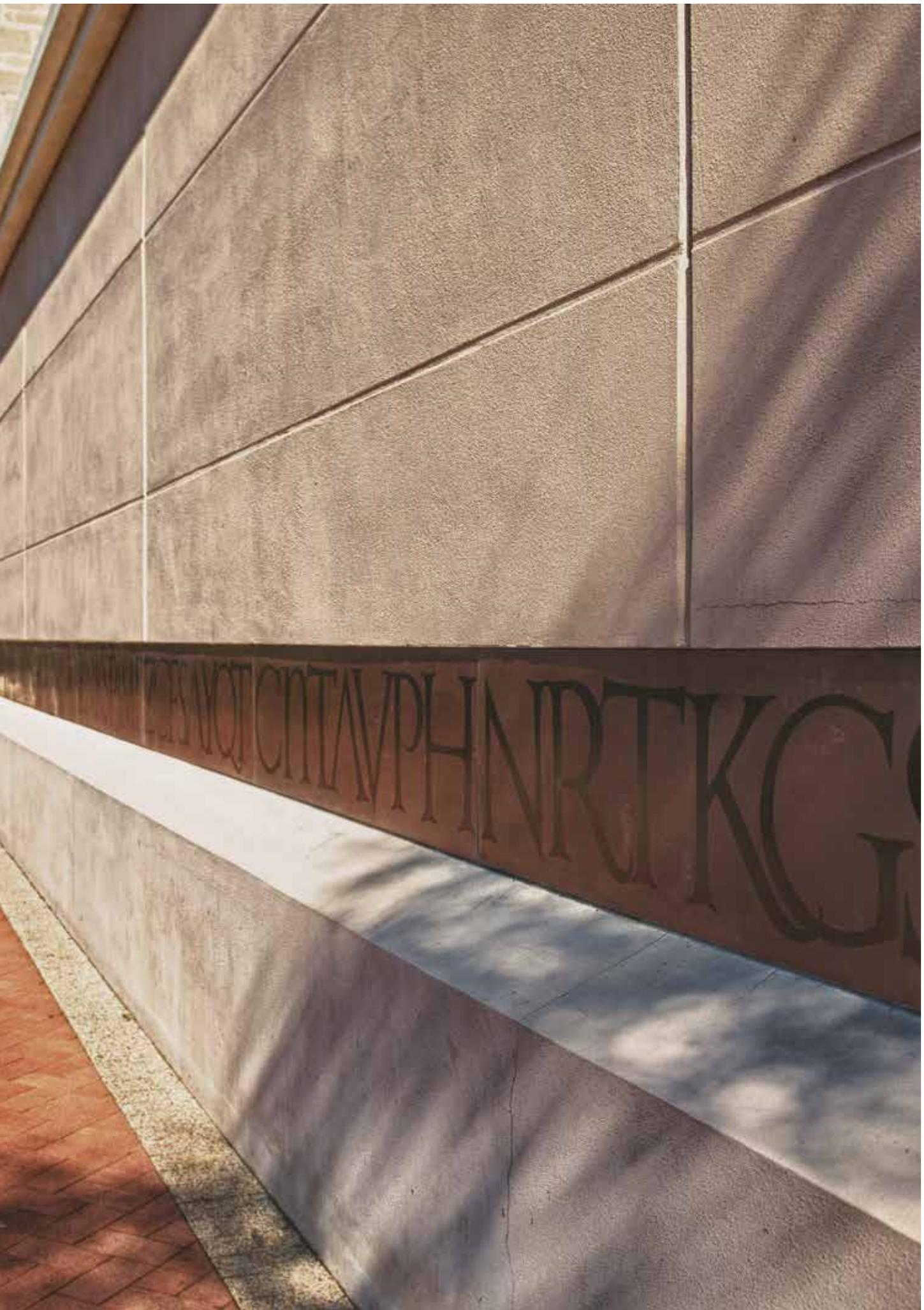
9.12 Risk management

The City is responsible for providing a wide and diverse range of services to its community. All of these activities involve some form of risk, which must be managed to ensure that aims and objectives are achieved, services are delivered and that opportunities to deliver better and more cost effective services are realised. If the City is not aware of, or has not adequately assessed or managed some risks, it could result in financial loss, threats to public or employee safety or lead to substantial adverse publicity.

The City is committed to ensuring that effective risk management remains central to all its operations while delivering its range of services to the community. The management of risk is the responsibility of senior management and all employees and is an integral part of the City's organisational culture. Risk management philosophies are reflected in the various policies, protocols, systems and processes in place, that guide the City's operations.

The City has an established *Risk Management Framework* which reflects good practice and sound corporate governance principles and is consistent with the risk management guidelines and principles set out in Australian / New Zealand Standard for Risk Management (AS/NZS ISO 31000:2009). The City also has a *Risk Management Policy* which describes the City's commitment to ensuring that effective risk management remains central to all its operations.

The City's organisational structure has a dedicated business unit to monitor risk and provide work programs, audit updates and regular reporting to the Audit Committee.



10. Principle Four: Accountability

10.1 Principle of accountability

Excellence in governance is based on the principle that the people involved in providing governance, being the Elected Members and employees, are held to account for what they do and for the City's performance.

The public trust placed in the City and in its Elected Members to act in the public interest can be justified in the manner in which their duties have been performed.

Accountability systems need to provide disclosure and for the review of decision-making and processes. These systems must record and support the City's accountability to its stakeholders and its legal accountability to the State Government.

Risk management systems aim to ensure that community assets are protected. An internal audit system, a comprehensive consultation and engagement policy and framework all support good decision-making by ensuring that Elected Members are aware of the views of those who will be affected by any decision.

The fundamental importance of accountability is that the City exists to govern for and on behalf of its community. Systems and values must reflect this accountability.

Accountability systems that provide disclosure and review of decision-making and processes are integral to good governance and are reflected through:

- open and transparent government so that people can follow decision-making processes and outcomes
- consultation so that communities feel that they are being heard
- good information and communication processes so that communities are kept informed.

10.2 Performance management and reporting

The Council is accountable for monitoring performance in the achievement of the City's strategic direction, goals and financial outcomes which are set through *Joondalup 2022*, the *20 Year Strategic Financial Plan*, the *Five Year Corporate Business Plan* and the Annual Budget.

The management of the City's performance and the reporting of that performance to the community is achieved in several ways.

10.2.1 Quarterly progress reporting

The City has developed a reporting system to provide Council with the necessary information to enable it to assess performance against the various plans it has developed. The reporting system is a systematic and regular process that allows Council to take action to rectify any issues that arise and as such, be accountable to the community.

The Department of Local Government and Communities' *Integrated Planning and Reporting Framework* sets out the requirements for local governments to undertake planning and reporting on their activities. The process includes annual reporting to the community on achievements and outcomes. The City's *Corporate Business Plan*, reviewed and adopted by Council each year, is in line with this requirement and focuses on the City's actions and objectives within *Joondalup 2022*.

Quarterly progress reports against the City's *Corporate Business Plan* provides Council and the community with a full assessment of the City's progress in relation to the achievement of pre-determined milestones for major projects and programs. Full progress reports against the City's Capital Works Program are also provided at the same time as the *Corporate Business Plan* progress reports to Council.

10.2.2 Financial reporting

Financial reporting is a basis for accountable financial management and it is required by the Act. Financial reporting undertaken at the City is as follows:

- **Monthly Financial Activity Statement** - timely and accurate reports are essential to keep Council in an informed position to ensure the City meets its financial responsibilities. In accordance with the Act and the *Local Government (Financial Management) Regulations 1996*, Council is required to prepare a monthly statement of financial activity reporting on the source and application of funds as set out in the Annual Budget.
- **List of Payments** - Council has delegated to the CEO the exercise of its authority to make financial payments from the City's Municipal Fund and Trust Fund. Therefore in accordance with Regulation 13(1) of the *Local Government (Financial Management) Regulations 1996*, a list of accounts paid by the CEO is prepared each month for Council, showing each account paid since the last list was prepared.
- **Annual Financial Report** - in accordance with the Act, the City is required to prepare an Annual Financial Report each financial year which provides information about the City's financial activities, income and expenditure. The City's Annual Financial Report is to be audited by an external auditor and is to be considered by the City's Audit Committee before being submitted to Council for adoption.

An abridged version of the Annual Financial Report forms part of the City's Annual Report, which is received and discussed by the community at the Annual General Meeting of Electors.

10.2.3 Annual Report

In accordance with section 5.53 of the Act the City is to prepare an Annual Report each financial year. Other than just financial information the City's annual report includes, among other things, the auditor's report, internal information and an overview of the City's 'plan for the future' (being *Joondalup 2022*) including major initiatives that are proposed to commence or to continue.

The City's Annual Report is the City's key reporting document that satisfies the Annual Report requirements under the Act. It provides detailed information to all of the City's stakeholders about how the City intends to operate in a sustainable manner whilst addressing the many challenges it faces. The report reviews the progress made against the many initiatives outlined in *Joondalup 2022*.

The City also reports on an extensive range of sustainability indicators across social, environmental, economic and governance parameters to provide a balanced overview in line with the Global Reporting Initiative (GRI) guidelines. These indicators advise the community of the City's key achievements and areas of focus, and serve to further emphasise the complex task of managing for a sustainable future.

The Electors of the City's district are to receive the Annual Report at the Annual General Electors Meeting, held in either November or December each year. At this meeting, the community can ask questions of the City on various aspects of the Annual Report.

10.2.4 CEO performance review

The Council is accountable for managing the CEO's performance and is responsible for setting the CEO's performance plan and subsequently monitoring performance. Council is to communicate its expectations to the CEO, and is required to seek independent professional advice when undertaking the performance evaluation of the CEO.

The Council has established the Chief Executive Officer - Performance Review Committee to assist it with this task of reviewing the CEO's performance.

10.2.5 Employee performance review

In accordance with the Act the performance of all employees is to be reviewed at least once in relation to every year of their employment. The City's comprehensive Individual Development Achievement Program provides a mechanism for employee performance to be assessed as well as training and development opportunities to be identified.

10.3 Compliance Audit

It is a requirement of the Act that the City conducts an annual audit of its compliance with statutory requirements and responsibilities placed on it under the Act.

The Compliance Audit Return is submitted to the Department of Local Government and Communities each year after its adoption by Council. The Compliance Audit Return provides prompts in relation to the local government's statutory obligations in a number of areas, such as local laws, tenders, meeting processes, disclosure of financial interests and financial management. It provides a useful tool for the City to ensure compliance with the Act.

In addition to this requirement the City has established a number of internal compliance mechanisms to ensure its practices and procedures meet its obligations in relation to good corporate governance.

10.4 Audit Committee

The audit function of the City is achieved by two means – the establishment of an Audit Committee and the appointment of an Internal Auditor.

The Act requires Council to establish an Audit Committee to oversee and advise the Council on matters of internal or external audit, risk management, financial reporting and legislative compliance functions of the City. Such matters include developing and monitoring the City's internal audit activities as well as reviewing the appropriateness and effectiveness of the City's systems and procedures in relation to risk management, internal controls and legislative compliance.

10.5 Community consultation and stakeholder engagement

The City recognises that consultation is a two way interactive process that provides opportunities for the City and the community to clarify information, raise issues and discuss ideas and options. Consultation is an important dimension that informs and enhances the City's decision-making processes.

As a community leader, Council should define the City's directions and priorities for a sustainable future by:

- promoting discussion and debate within the community and with other stakeholders about the priorities and needs of the City
- using research to develop and inform Council policies and decision-making
- actively canvassing, and faithfully considering, the needs and opinions of the community when making decisions
- translating the community's aspirations for a sustainable future through appropriate partnerships, initiatives, programs and services.

The Council has an adopted *Community Consultation and Engagement Policy*, the objective of which is to outline the City's commitment to actively involving the community in the City's planning, development and service delivery activities.

The City's *Community Consultation and Engagement Policy* and associated protocols provide a clear articulation of the City's commitment to strong stakeholder and community relationships. The goal of the policy and protocol is to provide a process and choices for involving citizens in decision-making and to enhance current opportunities and processes for that to happen. It addresses the following requirements from the policy:

- Identification of issues requiring public participation.
- Inclusion of funding for public participation activities in the annual budget process.
- Increasing staff awareness and skills in public participation techniques.
- Information on how all sectors and groups within the community can have the opportunity to participate in the City's activities.
- A community education program relating to public participation in the City's affairs.

The City will also use social media platforms such as Facebook, Twitter and You Tube as a way of promoting corporate messages and public notices; interacting and engaging with the community; and sourcing valuable feedback on issues and events that are relevant to the community. Other electronic information and feedback systems and consultation mechanisms are also used from time to time.



Strong stakeholder relationships are critical to the successful delivery of a number of key City projects and activities, which require careful and ongoing management. In view of this the City has developed a *Stakeholder Management Plan* to guide the City in managing key relationships with primary stakeholders in line with agreed and endorsed strategic priorities and major projects.

The *Stakeholder Management Plan* aims to enhance and maximise the benefits of regular stakeholder engagement and outlines how the City will develop a consistent and widely accepted organisational approach to the management of stakeholder relationships.

10.6 Customer Service and Complaints Management

The City has adopted a Customer Service Charter which outlines the City's customer service standards the community can expect from the City. The charter demonstrates the City's commitment to customer service excellence and the levels of customer service performance. The charter provides a mechanism of accountability for the City's community. Customer service standards and performance is measured to ensure that the City is delivering on its commitments.

The City has a complaints management process which ensures an effective, transparent and timely method of responding to complaints regarding the City's services, administrative actions, competitive neutrality, the conduct and performance of elected member or employee behaviour.

10.7 Access to information

Under the Act any member of the public can access certain information held by the City, but there is not an unfettered right of access to the City's information. There are some documents not accessible to the public or available for viewing; however, being a 'public body', the provisions of the *Freedom of Information Act 1992* apply.

All Elected Members and staff should be aware of freedom of information implications when creating documents, whether it is internal or external. As a general rule any written material generated by employees or Elected Members may become public knowledge and subject to a freedom of information request and investigation. Freedom of information gives individuals a right to access certain records held by both state and local government agencies.

The City each year publishes a *Freedom of Information Guide* to assist the community on the functions and services of the City and how information of the City can be accessed.



11. Council and Elected Member Self-Assessment

11.1 Council self-assessment and evaluation

In order to assess whether the governance principles are being enacted a self-assessment tool has been included in the *Governance Framework*. The questionnaire was originally developed by WALGA for use by the WALGA Council. Permission has been granted for the City to use the self-assessment tool to assess the Council's and individual Elected Member's performance against the governance principles. It is intended that the results be used to develop action plans to improve governance performance.

The self-assessment aims to:

- assess what level of performance has been achieved in the period under review
- assist in the development of a better understanding of individual Elected Member performance and the Council's objectives
- focus on strategic goals
- assist in the developing of a better understanding of performance orientated relationships
- develop an action plan for improvement
- encourage a program of ongoing personal and professional development for Elected Members.

The self-assessment tool has two components, being:

- (1) the Council Self-Assessment
- (2) Elected Member Self-Assessment.

Elected Members as a group should complete the Council Self-Assessment and the results used to assess the Council's performance as a whole against the governance principles. This should assist the Council in developing an action plan to improve performance (including the ongoing training and development program for Council).

The Elected Member Self-Assessment should be completed by individual Elected Members to provide an assessment of that individual's contribution to good governance, and assist in the development of an individualised training and development program.

11.2 Council Performance Assessment Questionnaire

Please circle your responses as per the following scale:

1. Strongly Disagree 2. Disagree 3. Unsure 4. Agree 5. Strongly Agree

Question	Rating				
	1	2	3	4	5
1. The Council has been effective in setting the overall direction of the City to achieve the objects and purpose of the City	1	2	3	4	5
2. The Council is effective in considering and determining all major policy issues	1	2	3	4	5
3. The Council monitors appropriate financial and non-financial performance indicators	1	2	3	4	5
4. The Council has a clear understanding of business risk	1	2	3	4	5
5. The Council does not become drawn into operational management matters	1	2	3	4	5
6. Roles of the Mayor, Councillors and the CEO are clearly defined and understood	1	2	3	4	5
7. The Council understands the City's vision, mission, values, philosophy and plans	1	2	3	4	5
8. The Council regularly inputs into strategy development and review	1	2	3	4	5
9. The CEO and employees have commitment, capacity and enthusiasm	1	2	3	4	5
10. The City has relevant and reliable internal reporting and compliance systems	1	2	3	4	5
11. Elected Members are aware of the City's responsibilities to regulators and external stakeholders	1	2	3	4	5
12. The Council communicates effectively with its community	1	2	3	4	5
13. Elected Members bring valuable experience and skills to the Council	1	2	3	4	5
14. The Council has legitimacy and retains confidence in the eyes of the community	1	2	3	4	5
15. The Mayor ensures that meetings are chaired and matters are discussed / debated in a structured and effective way	1	2	3	4	5
16. The Mayor makes sure that the Council addresses all of the appropriate strategic issues	1	2	3	4	5
17. The Mayor makes sure there is sufficient time to discuss the important issues on the agenda	1	2	3	4	5
18. The Mayor encourages contributions by Elected Members to get the best out of them	1	2	3	4	5
19. The Mayor liaises effectively with the CEO	1	2	3	4	5
20. The CEO is receptive to the Council's input	1	2	3	4	5
21. The CEO assists Elected Members in meeting their governance obligations	1	2	3	4	5
22. The Council is effective in monitoring and evaluating the performance of the CEO	1	2	3	4	5
23. The Council papers, including agenda, minutes and briefing notes are timely, accurate and informative	1	2	3	4	5
24. The Council meetings address the key issues facing the community	1	2	3	4	5
25. The duration of meetings of the Council are appropriate	1	2	3	4	5
26. Elected Members come to meetings well prepared and participate effectively in debate and discussions	1	2	3	4	5
27. The Council adheres to effective governance practices	1	2	3	4	5
28. Appropriate records from Council meetings are documented in Minutes	1	2	3	4	5
29. The relationship between the Mayor and Elected Members is effective in enabling the Council to fulfil its duties and responsibilities	1	2	3	4	5
30. The relationship between the Council and the CEO is effective in enabling Council to fulfil its duties and responsibilities	1	2	3	4	5
Additional comments on the performance of the Council?					

Thank you for completing this questionnaire.

The information will be collated and provided to you in a combined document that will not identify your individual response. The information will be used to assist Council to develop an action plan for improvement and to identify the priorities for training and ongoing development. Individual questionnaires will be treated in the strictest of confidence and will be destroyed once the information has been aggregated.

11.3 Elected Member Performance Assessment Questionnaire

Please circle your responses as per the following scale:

1. Strongly Disagree 2. Disagree 3. Unsure 4. Agree 5. Strongly Agree

Question	Rating				
1. I understand my roles, duties and responsibilities as an Elected Member of the City of Joondalup	1	2	3	4	5
2. I come to the Council meetings fully prepared	1	2	3	4	5
3. I understand the mission, vision, values, philosophy and strategy of the City	1	2	3	4	5
4. I participate in and enhance discussion and debate at the Council meetings	1	2	3	4	5
5. I have made a significant personal contribution to the Council achieving the objects for the City	1	2	3	4	5
6. I encourage openness and candour and ensure that others have a reasonable opportunity to put forward their views	1	2	3	4	5
7. I challenge those who sidetrack discussions or dwell on minutiae	1	2	3	4	5
8. I am a team player	1	2	3	4	5
9. I listen to and consider other people's views on issues	1	2	3	4	5
10. I am open and willing to change my views	1	2	3	4	5
11. I accept challenge from others without being defensive	1	2	3	4	5
12. I have the courage to say what is on my mind	1	2	3	4	5
13. I keep myself free from conflicts of interest and understand when a conflict may arise	1	2	3	4	5
14. I exercise independent judgement when considering or voting on any matter	1	2	3	4	5
15. I understand the difference between direction and managing and consistently practice the NIFO principle in discharging my role as an Elected Member (i.e. "nose in, fingers out")	1	2	3	4	5
16. I am responsive to requests from the Presiding Member that aim to ensure the orderly and good-spirited conduct of meetings	1	2	3	4	5
17. I understand and focus on the key issues of the City's business	1	2	3	4	5
18. I consider the viewpoints of all stakeholders in forming a position on an issue	1	2	3	4	5
19. I carry a fair workload when compared with my fellow Elected Members	1	2	3	4	5
20. I regularly liaise with the Mayor and other Elected Members of the Council outside of Council meetings	1	2	3	4	5
21. I regularly liaise with the CEO and senior employees outside Council meetings	1	2	3	4	5
22. I have adhered to all of the behavioural and ethical requirements of the Council <i>Code of Conduct</i>	1	2	3	4	5
23. Outside the Council meeting and when acting in my capacity as an Elected Member, I support Council decisions that have been made	1	2	3	4	5
Are you satisfied with the level of support you are provided in undertaking your role as an Elected Member of the City of Joondalup? Are there any areas that can be improved?					

Are there any specific areas in which you would like professional development to enhance your effectiveness as an Elected Member of the City of Joondalup?

Are you satisfied with the process of evaluating performance as an Elected Member of the City of Joondalup? Are there improvements you consider could be made?

Thank you for completing this questionnaire.

The information will be collated and provided to you in a combined document that will not identify your individual response. The information will be used to assist Council to develop an action plan for improvement.

Your individual responses can also be used to assist in the development of a customised training and development program to suit your specific needs and priorities. Individual questionnaires will be treated in the strictest of confidence and will be destroyed once the information has been aggregated.

References

The following documents have been used in the development of the *Governance Framework* for the City of Joondalup:

AS8000 Good Governance Principles.

ASX Corporate Governance Council – Principles of Good Corporate Governance and Best Practice Recommendations.

Australian Public Sector Commission – Building Better Governance.

City of Townsville Governance Framework 2016

City of Wollongong Governance Manual 2004.

City of Joondalup Governance Review Report May 2004.

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Corporate Governance Charter - WA Local Government Association December 2004.

Department of Local Government – Local Government Operational Guideline No 3 – Managing Public Question Time.

Department of Local Government – Local Government Operational Guideline No 4 – Elected Member Induction.

Department of Local Government – Local Government Operational Guideline No 5 – Council Forums.

Department of Local Government – Local Government Operational Guideline No 7 – Clarity in Council Motions.

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Department of Local Government– Local Government Operational Guideline No 17 – Delegations.

Department of Local Government– Local Government Operational Guideline No 20 – Disclosure of Financial Interests at Meetings.

Elected Members Welcome Pack - City of Joondalup - 2011.

Enterprise-wide Risk Management – Better Practice Guide for the Public Sector – CPA Australia 2002.

Excellence in Governance for Local Government – CPA Australia.

Governance Framework and Statement – City of South Perth.

Good Governance Guide 2004 – The Principles of Good Governance within Local Government - Municipal Association of Victoria.

Lessons for Local Government - City of Belmont published by the Department of Local Government and Regional Development April 2003.

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Local Government Act 1995.

Local Government (Administration) Regulations 1996.

Local Government (Financial Management) Regulations 1996.

Local Government (Rules of Conduct) Regulations 2007.

Murdoch University Senate, Statement of Governance Principles.

OECD Principles of Corporate Governance.

On Board Leadership – John Carver.

Public Sector Commission (WA) – Good Governance Guide for Public Sector Agencies

Public Sector Governance (Vol. 1) – Better Practice Guide – Australian National Audit Office.

Reinventing Your Board, A Step by Step Guide to Implementing Policy Governance – John Carver and Miriam Mayhew Carver.

Sustainability Reporting Guidelines – Global Reporting Initiative.

The Business of Local Government (a training course for Elected Members)- a joint WALGA and Australian Institute of Company Directors Course.

WALGA Training and Development Program for Elected Members.

WALGA State Council performance assessment questionnaire.



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