COMPLIANCE MANAGEMENT POLICY

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RELATED LEGISLATION:	Local Government Act 2020 All legislation and associated regulations that govern Council's activities
EVIDENCE OF APPROVAL:	_____ Signed by Acting Chief Executive Officer
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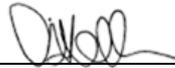
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This document is available in alternative formats (e.g. larger font) if requested.

COMPLIANCE MANAGEMENT POLICY

1   PURPOSE

The purpose of this policy is to outline Loddon Shire Council's approach to compliance management.

2   SCOPE

This policy applies to Councillors, staff, volunteers and contractors of the Loddon Shire Council.

3   POLICY

Council is committed to developing and maintaining a culture of effectively managing its compliance obligations. It will do this by:
- displaying its commitment to effective compliance management through the adoption of this policy
- implementing a compliance management program that assists staff in meeting compliance obligations and achieving desired behaviours.

This policy has been prepared with reference to the Australian Standard for Compliance Management Systems - Guidelines: AS/ISO 19600:2015 (the Standard), which outlines the principles for managing compliance.

In an ethical culture, employees and managers understand why doing the right thing is important to the organisation's long term viability. An ethical culture supports independent thinking employees and managers who make decisions consistent with the principles of good governance and the Council's values.

### 3.1   Compliance management program objectives and scope

The objective of the compliance management program is to establish an ongoing set of activities within the principles for managing compliance obligations that supports the implementation of this policy.

The scope of Council's compliance management program covers the elements in ISO19600:2015 and includes:
- understanding the organisation and its context
- understanding the needs and expectations of interested parties
- establishing the compliance management system
- identifying compliance obligations
- identifying, analysing and evaluating compliance risks
- promoting roles, responsibilities and authorities
- developing actions to address compliance risks
- developing compliance objectives and plan to achieve them
- establishing controls and procedures
- monitoring, measuring, analysing and evaluating the program
- providing stakeholders with assurance that Council is meeting its compliance obligations
- working with responsible officers to prevent nonconformity and noncompliance and put in place corrective actions where required
- continually improving the compliance management program.

These elements are represented in the following flowchart.
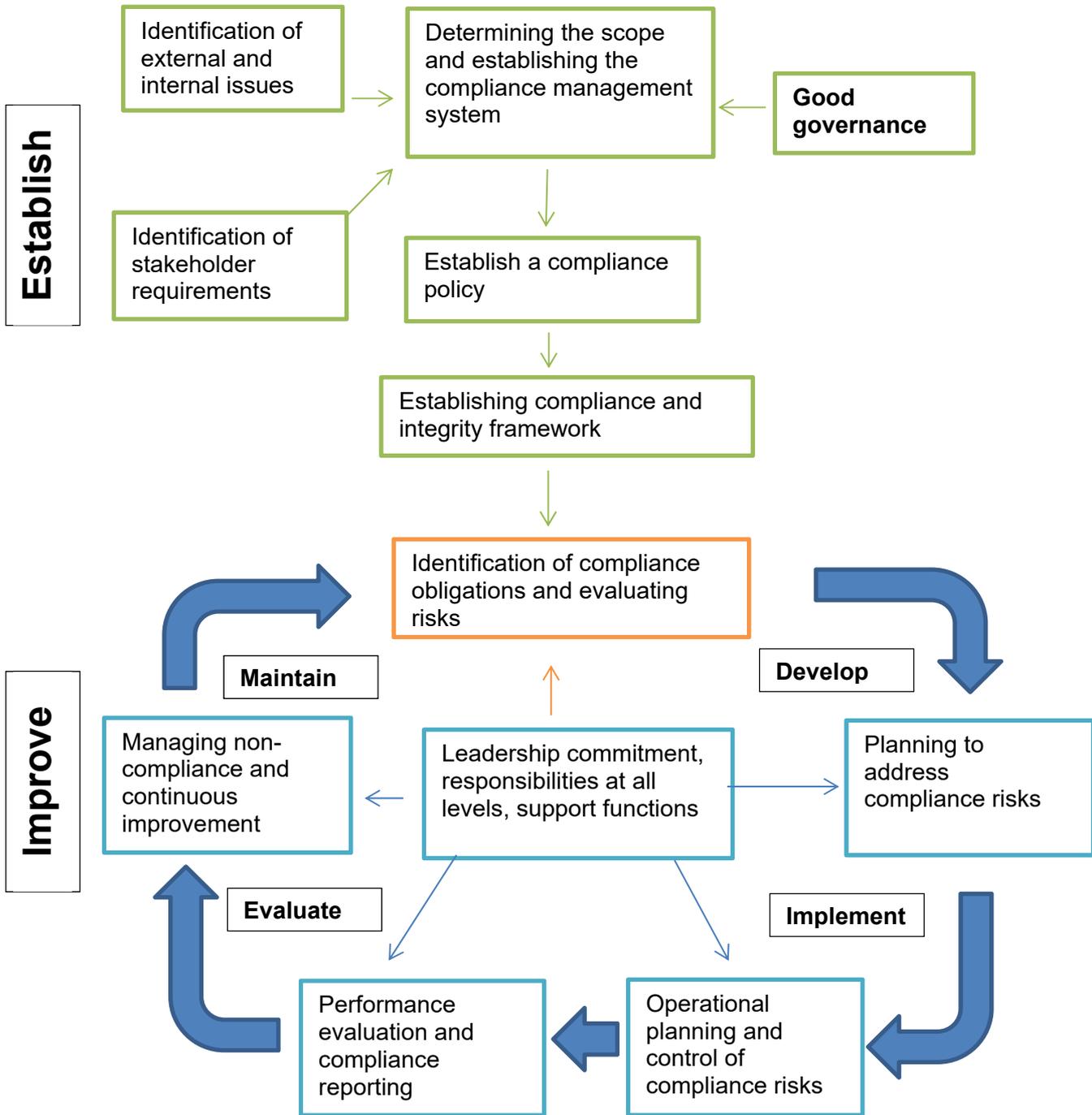
This approach is adopted in line with the Australian Standard AS ISO 19600:2015 Compliance Management Systems – Guidelines. This is a high level structure to assist in the implementation of specific compliance and integrity related requirements in any management system. This flowchart is in line with the continuous improvement principle – "Plan- Do – Check – Act".

4   ROLES AND RESPONSIBILITIES

4.1   Council

Council is responsible for approving this policy, and will actively demonstrate a commitment to a compliance culture, with the aim of promoting good governance, accountability and transparency of decision making.

4.2   Audit and Risk Committee

The Audit and Risk Committee is responsible for endorsing this policy and recommending approval to the Council. It is also responsible for monitoring, reviewing and advising the Council on the standard of its compliance management system.

4.3   Chief Executive Officer

The Chief Executive Officer is responsible to Council for the management of compliance and integrity obligations.

4.4   Management Executive Group

The Management Executive Group is responsible for leading by example and demonstrating an active commitment to and support for the compliance management system.

4.5   Managers/Supervisors/Team Leaders

Managers, supervisors and team leaders are responsible for demonstrating an active commitment to and support for the compliance management system.

4.6   Director Corporate Services

The Director Corporate Services is responsible for maintaining this policy.

4.7   Governance

Corporate governance is responsible for establishing and demonstrating a good governance culture that ensures compliance across Council. Corporate governance is responsible for giving advice, education and support across the organisation.

4.8   Employees

In accordance with the Code of Conduct and the principle of respect for the rule of law, all Council employees should be conscientious in seeking to comply with relevant obligations in the course of their duties.

4.9   Responsible officers

Obligations are assigned to responsible officers who are required to:
- confirm that they are seeking, in the course of their operational activities, to ensure compliance with each obligation for which they are designated the responsible officer
- report on any incidents of non-compliance and any remedial action taken to address them, including any ongoing non–compliance issues
- maintain a sound knowledge of their designated obligations

- ensure new obligations arising from, for example, common law, legislation changes, policies, procedures, investigations or audits are added to Council's compliance management software, if not added by the software provider
- arrange for the removal/archiving of any obsolete obligations from Council's compliance management software, if not removed by the software provider.

5   DEFINITIONS OF TERMS OR ABBREVIATIONS USED

Term	Definition
AS19600:2015: Compliance management systems - Guidelines	This Australian Standard that was developed following a request from the Australian Competition and Consumer Commission. It provides principles for the development, implementation and maintenance of effective compliance programs within the public and private sector.
Compliance management system (CMS)	The compliance management system is the policies, operating procedures, strategic documents and information technology that assist Council in meeting all organisation's compliance obligations and compliance risks in relation to legislative reporting requirements, regulations, industry and internal codes of conduct.

6   HUMAN RIGHTS STATEMENT

It is considered that this policy does not impact negatively on any rights identified in the Charter of Human Rights Act. Loddon Shire Council is committed to consultation and cooperation between management and employees. The Council will formally involve elected employee Health and Safety Representatives in any workplace change that may affect the health and safety of any of its employees.

7   REVIEW

The Director Corporate Services will review this policy for any necessary amendments no later than 4 years after adoption of this current version.