

1. POLICY CERTIFICATION

Policy title:	Legislative and Regulatory Compliance
Policy number:	ADM015
Category:	Policy
Classification:	Administration
Status:	Approved

2. PURPOSE

The purpose of this policy is to:

- Promote a culture of compliance within the organisation;
- Develop and maintain consistent processes and structures to ensure that legislative requirements are achievable and are integrated into the everyday practices of the organisation
- Assign responsibilities for ensuring that legislation and regulatory obligations are fully implemented
- Maintain and raise the level of awareness of the organisation's compliance obligations through the provision of education, training and legal advice
- Effectively identify and remain up-to-date with new legislation
- Ensure changes to legislation are responded to in a timely manner
- Provide a mechanism for reporting and addressing non-compliance, and to take action to prevent the recurrence of compliance failures.

3. ORGANISATIONAL SCOPE

This policy applies to all Employees, Councillors, Local Authorities and volunteers of Roper Gulf Regional Council.

4. POLICY STATEMENT

Roper Gulf Regional Council is committed to the highest standards of integrity, fairness and ethical conduct, including full compliance with all relevant legal requirements. Compliance with legislation is fundamental to effective and accountable governance and management of the organisation.

The organisation will ensure all legislation and regulatory obligations are fully implemented, and the organisation remains up to date with changes in legislation, regulations and guidelines. It will be the intention of the organisation to respond promptly to changes in legislation in a timely manner in accordance with set timeframes as dictated by legislative changes.

5. DEFINITIONS

Compliance	The act or process of doing what you have been asked or ordered to do
Legislation	A law or set of laws made by a government
Legislative	Having the power or performing the function of legislating
Organisation	Roper Gulf Regional Council
Regulatory	To govern or direct according to rule

6. PRINCIPLES

6.1 Roles and Responsibilities

Legislative and regulatory compliance is an ongoing responsibility of the Council and Chief Executive Officer (CEO).

The CEO will:

- Provide broad level direction to legislative compliance and may delegate implementation to relevant Executive/Managers.

Managers are responsible for the following duties within their delegated areas of responsibility:

- Ensuring that directions relating to compliance are clear and unequivocal and that legal requirements which apply to each activity for which they are responsible are identified
- The development and review of policies and procedures in accordance with legislative requirements
- Maintaining a legislation register that identifies and records the key compliance requirements
- Ensuring compliance with the requirements of legislation and relevant regulations and standards within their area
- Ensuring that all employees are given the opportunity to be kept fully informed and trained in key legal requirements relevant to their role within the organisation
- Ensuring risks relating to legislative compliance are incorporated into risk management activities

Employees are responsible for reporting through their manager areas of non-compliance that they become aware of. It is the responsibility of each employee to ensure that they comply with the legislation through following the policies and procedures of the organisation.

Reporting of Non-Compliance:

- All instances of non-compliance shall be reported immediately to their supervisor.

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- The supervisor shall report the matter to the relevant Executive/ Manager and determine the appropriate response.
- The Executive/Manager is to investigate any reports of significant non-compliance and report on findings to the CEO.

6.2 Risks

Rating	Overview	Risks / Mitigation
High	The organisation would be at a major risk without an immediate policy.	Review policy against the Australian Standards AS3806/2006 Compliance Programs on a bi-annual basis.

7. REFERENCES

Acknowledgements (original author/source documents)	Babyboomers Pty Ltd licenced template 2016
Related Policies	<ul style="list-style-type: none"> • Risk Management Policy • Legislative Compliance Register • Policy Framework Policy
Related Publications	<ul style="list-style-type: none"> • Local Government Act • Commonwealth Law • State and Territory Law • Australian Standards AS3806/2006 Compliance Programs
Relevant Forms	

8. DOCUMENT CONTROL

Policy number	ADM015
Policy Owner	Director Corporate Governance
Endorsed by	Ordinary Meeting of Council
Date approved	27 July 2016
Revisions	
Amendments	
Next revision due	July 2018

9. CONTACT PERSON

Contact person **Manager Governance and Corporate Planning**

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