

Compliance – Council Policy No. 127

1. POLICY PURPOSE

To document Gannawarra Shire Council's commitment to managing compliance.

2. SCOPE

This policy applies to:

1. Gannawarra Shire Councillors, employees, contractors and volunteers
2. Compliance with legislation, regulations, industry codes; Council policy, agreements and other organisational requirements; and Council values identified in the Council Plan.

3. POLICY

Gannawarra Shire Council, through its Executive Management Team, is committed to:

- managing compliance in accordance with the Australian Standard for Compliance Programs (AS 3806-2006) and to a level appropriate to the compliance obligations arising from the activities of and services provided by Council.
- making available sufficient resources to develop, implement, maintain and improve a compliance program. Resources include financial and human resources, access to external advice and specialised skills, organisational infrastructure, reference material, professional development and technology.
- identifying and assessing compliance obligations. Compliance obligations to be managed will be regularly monitored for currency and relevance to Council activities and services, and prioritised against the risk of compliance failure.
- clearly articulating and assigning responsibility for identified compliant outcomes to ensure employees fully understand and carry out compliance obligations effectively. Councillors and members of the Executive Management Team and Managers will lead by example by adhering to and actively supporting compliance and by achieving compliance within their areas of responsibility. Employees will achieve compliance within their areas of responsibility and relevant to their positions. Contractors and volunteers will achieve compliance relevant to the activities they are undertaking.
- identifying and addressing competence and training needs to enable employees to fulfil their compliance obligations. Methods of achieving competence will include education, training and work experience; each method will be routinely assessed for effectiveness.

- encouraging behaviours that support compliance. Council acknowledges behaviours that support achievement of compliance objectives as well as reporting of compliance failures will result in continual improvement in compliance performance.
- ensuring controls are in place to manage the identified compliance obligations and achieve desired behaviours. Control methods will support the integration of compliance obligations into operating and administrative procedures and include specific arrangements to deal with compliance failures that could arise.
- monitoring, measuring and reporting on the performance of the compliance program. Monitoring of the program will include effectiveness of training and allocation of responsibilities and currency of compliance obligations. Monitoring of compliance performance will include compliance failures and 'near misses'. Performance measures will be relevant to Council's compliance program. Reporting will be full and frank; align with existing Council reporting mechanisms; and include a process of enabling remedial action to be taken.
- demonstrating the compliance program through both documentation and practice. Accurate, up-to-date records of Council's compliance activities will be maintained in Council's electronic records management system, including complaints, disputes and alleged compliance failures and steps taken to resolve them.
- ensuring the compliance program is regularly reviewed to confirm its continued suitability, adequacy and effectiveness and review findings and recommendations are appropriately communicated and actioned.

4. POLICY REVIEW

Council will review this policy as required but always within two years after a general election of the Council.

At the time it was developed, this policy was compliant with the *Victorian Charter of Human Rights and Responsibilities Act 2006*.

5. FURTHER INFORMATION

Members of the public may inspect all Council policies at Gannawarra Shire Council's Kerang and Cohuna Offices, or online at www.gannawarra.vic.gov.au.

Any enquiries in relation to this policy should be directed to the Director Corporate Services on (03) 5450 9333.

Records – Document Profile No. 14/02213

Originally adopted: 17/09/2014 Minute Book Reference: 11022

To be reviewed by: 2017