

## 4.26 COMPLIANCE MANAGEMENT

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### SUSTAINABILITY THEME

Governance

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### OBJECTIVES

To ensure that the City understands and complies with legislative requirements.

### POLICY STATEMENT

A fundamental principle of good public administration is that local governments comply with both the letter and the spirit of the law. With this in mind the City will implement appropriate processes and structures to ensure that legislative requirements are achievable and are integrated into the operations of the City.

### POLICY DETAILS

#### 1. Compliance Management

- 1.1. The City recognises that legislation has been developed with the intent of ensuring effective and safe operations. To ensure the City fulfils its legislative obligations a structured approach must be implemented.
- 1.2. The City will maintain the City of Greater Geraldton Compliance Management Plan consistent with the guidelines and principles as set out in the *AS ISO 19600:2015 : Compliance management systems – Guidelines*.
- 1.3. The City of Greater Geraldton Compliance Management Plan shall detail the following processes and requirements:
  - 1.3.1. Develop and maintain a system for identifying the legislation that applies to the City's activities;
  - 1.3.2. Assign responsibilities for ensuring that legislation and regulatory obligations are fully implemented;
  - 1.3.3. Provide training for relevant staff, Councillors, volunteers and other relevant people within the legislative requirements that affect them;
  - 1.3.4. Ensure processes are implemented to identify and remain up to date with new legislation;
  - 1.3.5. The City will integrate compliance management into its corporate culture and its everyday business operations at the strategic, operational, and project level;
  - 1.3.6. Establish a mechanism for reporting non-compliance;
  - 1.3.7. Review accidents, incidents and other situations where there may have been non-compliance; and
  - 1.3.8. Review audit reports, incident reports, complaints and other information to assess how the systems of compliance can be improved.
- 1.4. The Compliance Management Plan is a critical control mechanism that supports the Risk management Framework and the City's strategic and operational management plans.

## KEY TERM DEFINITIONS

**Compliance or Compliance Management** means the application of management systems to ensure the City fulfils its legislative obligations.

## ROLES AND RESPONSIBILITIES

The Chief Executive Officer (CEO) is responsible for the implementation of this policy, and for the allocation of roles, responsibilities and accountabilities.

The City of Greater Geraldton Compliance Management Plan outlines in detail all roles and responsibilities associated with managing compliance obligations within the City.

## WORKPLACE INFORMATION

City of Greater Geraldton Compliance Management Plan

City of Greater Geraldton Risk Management Framework

AS ISO 19600:2015 : Compliance management systems – Guidelines

Department of Local Government & Communities Integrated Planning Guidelines

Local Government (Audit) Regulations 1996 REG 17

Local Government (Audit) Regulations 1996 REG 14

City of Greater Geraldton Corporate Business Plan

City of Greater Geraldton Strategic Community Plan

## POLICY ADMINISTRATION

Directorate		Officer	Review Cycle	Next Due
Corporate and Commercial Services		Manager Corporate Services	Biennial	November 2020
Version	Decision Reference	Synopsis		
1.	CCS378 - 27 November 2018	New policy developed to support the City's compliance management processes.		