



This policy has been recently adopted by Council and is published here for information and transparency purposes. It will be incorporated into the Shire of Gnowangerup Policy Manual as part of the next consolidated update, together with other policies currently under review. Until the updated Policy Manual is issued, this document should be read as an adopted policy of the Shire.

POLICY MANUAL UPDATE NOTICE

07 SEPTEMBER 2026

LEGISLATIVE COMPLIANCE POLICY

Objectives

To establish a framework that promotes and supports compliance with all applicable legislative, regulatory and statutory obligations of the Shire of Gnowangerup and to foster a culture of accountability, ethical conduct, continuous improvement and good governance.

1. Policy Statement

The Shire of Gnowangerup is committed to conducting its operations in accordance with all applicable legislation, regulations, local laws, standards, permits, licences and other statutory obligations. The Shire will maintain systems and processes to identify, monitor and manage compliance obligations and will take appropriate action where instances of non-compliance are identified.

2. Principles

- Maintain awareness of legislative and statutory obligations.
- Maintain systems, registers, controls and procedures to support compliance.
- Allocate responsibility for compliance obligations.
- Provide appropriate training and information.
- Promote reporting of compliance issues and risks.
- Monitor compliance through reporting, reviews and audits.
- Investigate non-compliance and implement corrective actions.
- Review and improve compliance systems continuously.

3. Responsibilities

3.1 Council

- Setting the governance framework for legislative compliance.
- Reviewing outcomes of the annual Compliance Audit Return and significant compliance matters.

3.2 Audit, Risk, and Improvement Committee (ARIC)

- Monitoring compliance risks and controls.
- Reviewing the Compliance Audit Return and reporting to Council.

3.3 Chief Executive Officer

- Ensuring adequate systems and resources are established.
- Promoting a culture of compliance.

3.4 Executive Leadership Team and Managers

- Identifying obligations and implementing controls.
- Ensuring employees receive appropriate training.

3.5 Employees, Contractors and Volunteers

- Complying with obligations relevant to their role.
- Reporting known or suspected non-compliance.

3.6 Elected Members

- Complying with obligations applicable to their role.
- Undertaking mandatory and relevant governance training.

4. Compliance Framework

- Compliance Audit Return processes
- Risk Management Framework
- Corporate policies and procedures
- Training and awareness programs
- Compliance reporting mechanisms
- Annual Compliance Calendar
- Non-Compliance and Audit reports (ARIC)
- Legislative Change Register
- Internal audit and review programs

5. Reporting non-compliance

Actual or suspected non-compliance should be reported to the relevant manager as soon as practicable. The Shire will assess, investigate, implement corrective actions and report significant matters through appropriate governance channels.

6. Monitoring and Review

The Shire will periodically review compliance risks, obligations, controls and performance to ensure the effectiveness of its legislative compliance framework and support continuous improvement.

7. Implementation of Legislation

The local government has procedures in place to ensure that when legislation changes, steps are taken to ensure that future actions comply with the amended legislation.

COMPLIANCE REQUIREMENTS

Legislation / Documents	- Local Government Act 1995 (As Amended) – Section 6.5 - Local Government Act 1995 (As Amended) – Section 7.13 - Regulation 5, Local Government (Financial Management) Regulations 1996 - Regulation 17, Local Government (Audit) Regulations 1996
-------------------------	---

DOCUMENT CONTROL

STRATEGY AND GOVERNANCE

Category	Strategy and Governance
Policy Number	2.12
Responsible Officer	Chief Executive Officer
Initial Council Adoption	28 August 2019
Review Dates	31 August 2023 (approved by Council 27 September 2023) 31 July 2026
Next Review Due	31 August 2031 This policy will be reviewed every five years or more often where circumstances require.

AMENDMENT HISTORY

Date	Council Resolution	Author	Description of Amendment
26 August 2026	0823.03	Anita Finn David Nicholson	Since adoption in August 2019, several legislative compliance initiatives identified as future actions have been implemented and embedded into Shire's governance and compliance framework. This review updates the policy to reflect current practices, responsibilities, and compliance processes.