

Legislative Compliance Policy

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1. POLICY PURPOSE

This policy:

- responds to an internal audit recommendation to formalise existing Council processes and practices in legislative compliance and the administration of delegations;
- provides a uniform framework approach to ensure compliance with all laws, regulations, industry and internal codes of conduct relevant to Council and which impact on the day-to-day activities of Council;
- promotes a functional compliance culture at Council by outlining the compliance responsibilities of those within the organisation;
- upholds and promotes best practice governance practices within Council; and
- provides assurance to Council and the wider community that the organisation is actively attentive to its legislative compliance obligations, considers impacts of changes and ensures that these are embedded in practice and procedures across the organisation.

2. BACKGROUND

Greater Dandenong City Council has a responsibility to identify and comply with a range of legislative and regulatory requirements.

The Australian Standard ISO 19600:2015 (Compliance Management Systems) states that:

"An effective, organisation-wide compliance management system enables an organisation to demonstrate its commitment to compliance with relevant laws, including legislative requirements, industry codes and organisational standards, as well as standards of good corporate governance, best practices, ethics and community expectations."

Council's internal auditor reviewed Council's legislative compliance practices and processes in July 2019 and recommended that both a legislative compliance policy and delegation policy be developed and implemented to formalise and represent Council's existing legislative compliance and delegation practices and processes. This policy responds to those internal audit recommendations by incorporating the two policy requirements into one holistic policy.

Council is committed to conducting its business and activities lawfully and in a manner that will enhance the core values defined by its REACH principles. Council's REACH principles outline how we interact with our community. They are Respectful, Engaged, Accountable, Creative and Honest. These particularly embody Council's willingness to be seen as an organisation of integrity, fairness and excellence. All members of staff are expected to adhere to high ethical standards when acting on behalf of Council and to strictly comply with all relevant legislation. Legislative and governance processes and systems can ensure this compliance and in turn assist the community to understand that the organisation always acts in accordance with its REACH principles.

Council's legislative compliance framework consists of:

• this policy (Legislative Compliance Policy) which outlines the scope and objective of the legislative requirements and compliance management framework, accountabilities and responsibilities to maintain that framework and the management process of reviewing and updating Council's Instruments of Delegation;

- supporting procedures, forms and registers that are a legislative requirement for Council and complement management and administrative governance functions;
- responsibilities for ensuring compliance with particular legislative obligations; and
- responsibilities for ensuring compliance with internal audit recommendations to ensure best practice and continuous improvement.

3. SCOPE

This policy applies predominantly to the Chief Executive Officer and all staff of Greater Dandenong City Council.

The role of a Council is to provide good governance in its municipal district for the benefit and wellbeing of the municipal community and must, in the performance of its role, give effect to the overarching governance principles outlined in the *Local Government Act 2020*. As elected representatives, Councillors are required to act in accordance with the Councillor Code of Conduct and the *Local Government Act 1989* and *Local Government Act 2020*. This policy therefore provides the elected representatives of Council with an assurance that the organisation's legislative requirements are being met with a coordinated, consistent and considered approach.

This policy primarily covers the major instruments of legislation that Council operates under. Appendix 1 lists the wide range of legislative instruments and regulatory statutes that Council must comply with. This list is subject to change as instruments of legislation are developed, updated and amended regularly.

Council's Compliance Register sets obligations for many instruments of legislation across Council particularly those in areas of higher risk such as the *Local Government Act 1989* and the *Local Government Act 2020*. At the time of this policy development the Compliance Register does not cover the *Building Act 1993* or the *Planning and Environment Act 1987*. The number of legislative compliance obligations is currently determined by resources available.

4. **DEFINITIONS**

Unless otherwise specified within this policy, the following words and phrases are defined to mean the following in terms of this policy.

Authorisation	A member of staff is appointed to a particular statutory position and then has certain powers by virtue of that position. They are then an "authorised" officer for the purposes of carrying out certain powers under a particular instrument of legislation.
Council	The 11 elected councillors representing the City of Greater Dandenong.
Delegation	A member of Council staff is empowered to take action on Council's behalf. The decision of the delegate is "deemed" to be a decision of Council.
Compliance Register	RelianSys software utilised to monitor Council's compliance with relevant instruments of legislation, monitor compliance with internal audit obligations, track updated required delegations and track updated required authorisations.

Obligation	An action within the Compliance Register that is allocated to a Responsible Officer for action and sign off attestation about how it has been completed (if an actual obligation) or understood (if an awareness obligation). Note that some obligations are only for the awareness of Responsible Officers and do not require any action. Obligations are repeated on a regular cycle (developed in accordance with the risk and requirements of the obligation by the Governance Unit) so that sign off attestations are required on a cyclical basis.
Responsible Officer	A member of Council staff who has been allocated an obligation from the Compliance Register.
Sign Off Attestation	Clear, articulate and meaningful details about how an obligation has been completed (complies) so that the Executive Management Team and Audit and Risk Committee will understand and be assured that the Responsible Officer has undertaken their responsibilities in relation to the obligation.

5. POLICY

5.1 LEGISLATIVE OBLIGATION MANAGEMENT

As a large and complex statutory authority, Council has a significant number of compliance obligations. Council must comply with over 100 statutory acts and their associated regulations. The *Local Government Act 1989* and the *Local Government Act 2020* and associated regulations are the principal governing instruments of legislation relevant to Council.

To ensure that Council can comply with its obligations, it is important to identify all the legislative instruments which impose a legislative obligation. Compliance obligations may require, but are not limited to, reporting, accreditation, registration, licensing, compliance with deadlines, provision of services, restrictions, limitations or financial obligations. Council's obligations are maintained in an on-line Compliance Register with each obligation allocated to the responsible officer. The Compliance Register maps Council's obligations to Responsible Officers, maps changes or amendments in the legislation, provides a sign-off attestation process for Responsible Officers and also provides a complete audit trail for each obligation.

The register is reviewed quarterly to:

- monitor substantive changes in legislative requirements;
- assess time frames for signing off obligations;
- allocate new obligations; and
- follow-up overdue obligations, particularly those in areas of potential risk.

5.2 INTERNAL AUDIT OBLIGATION MANAGEMENT

Council has a structured internal audit program undertaken by an independent auditor which regularly reviews and audits Council's services, programs and processes in line with a strategic continuous improvement plan set by the Executive Management team in conjunction with the Audit and Risk Committee.

For each audit, Council's internal auditor makes a number of recommendations that are added to the Compliance Register as internal audit obligations. The Compliance Register maps these internal audit actions to each Responsible Officer, provides a quarterly sign off attestation for Responsible Officers and provides a complete audit trail for each obligation until it is completed (complies).

5.3 MANAGEMENT OF THE COMPLIANCE REGISTER

The Compliance Register is managed, administered and maintained by Council's Governance Unit on behalf of the Chief Executive Officer.

5.4 MANAGEMENT OF OTHER REGISTERS

In conjunction with the *Local Government Act 2020*, the Governance Unit manages, administers and maintains statutory registers or summaries, including, but not limited to, the following:

- Authorisations Register;
- Conflicts of Interest Register;
- Councillor Gift Register;
- Delegations Register;
- Inspection of Documents Register;
- Staff Gift Register;
- Summary of Personal Interest Returns; and
- Travel Register.

Public access to these documents is prescribed under the *Local Government Act 2020* and Council's Public Transparency Policy.

5.5 DELEGATIONS AND AUTHORISATIONS

Council is responsible for carrying out various duties, functions and powers under a range of State legislation and Council's Local Laws. The practice of delegation originates in the need to remove formal Council consideration of matters that are essentially of a routine nature or of such a nature that a professionally qualified person must undertake them. As such, delegation is an important administrative tool which allows for the efficient and effective function of the organisation.

Section 11 of the *Local Government Act 2020* provides for Council, by Instrument of Delegation to delegate to the CEO or members of a delegated committee and power, duty or function under this Act or any other Act (other than certain powers, duties and functions as specified in the Act). Council therefore delegates many duties, functions and powers to the CEO.

Section 47 of the *Local Government Act 2020* provides for the CEO to then delegate, by Instrument of Delegation, any power, duty or function conferred by this Act or any other Act that has been delegated to the CEO by Council, to a member of Council staff. (This action was previously called sub-delegation.)

In conjunction with, but not the same as, delegations, authorisations are also required so that professional council officers can be appointed to particular statutory positions and are "authorised" with certain powers by virtue of that position.

Council engages two external services on a biannual basis to provide updated advice on legislation affecting Council's various Instruments of Delegation and Authorisation. Legal advice ensures that all acts that are relevant to Council's operations are covered regularly and RelianSys software provides a management tool and templates for the Instruments to be generated in different formats and as required.

Council keeps updated Instruments of Delegation (Delegations Register) and makes them available to all staff on its Intranet. The Governance Unit monitors legislation for any changes to ensure all areas of Council are not exposed to any risk.

6. RESPONSE TO THE OVERARCHING GOVERNANCE PRINCIPLES OF THE LOCAL GOVERNMENT ACT 2020

Section 9 of the *Local Government Act 2020* (the Act) states that Council must, in the performance of its role, give effect to the overarching governance principles. This policy gives effect to these principles by:

- complying with the relevant law (section 9(a) of the Act);
- giving priority to achieving the best outcomes for the municipality, including future generations (section 9b of the Act). This policy ensures that in relation to the *Local Government Act 1989* and *Local Government Act 2020* and other instruments of legislation, Councillors and Council officers are continually made aware of their legislative obligations and Council's internal audit program ensures an organisation-wide mechanism for the continued improvement of Council's programs and services;
- the economic, social and environmental sustainability of the municipal district, including mitigation and planning for climate change risks, is promoted (section 9(c) of the Act). This policy has no impact on the economic and social sustainability of the municipal district as it is essentially an organisation operational policy but has considered climate change and sustainability in its preparation (see section 9 of this policy);
- innovation and continuous improvement have been pursued (section 9(e) of the Act). This policy
 incorporates monitoring and tracking of Council's internal audit program which specifically looks to
 review and improve Council services, processes and programs. It has also made provision for
 evaluation, monitoring and review of the policy (see section 11 of this policy);
- collaboration with other Councils and Governments and statutory bodies has been sought (section 9(f) of the Act). A number of best practice model policies were consulted in developing this policy along with Australian Standards as referenced in section 12 of this policy; and
- transparency of Council decisions, actions and information is ensured by the enactment of this policy (section 9(i) of the Act). The policy will be made available to the public on Council's website once endorsed by Council.

In giving effect to the overarching governance principles, a Council must also take into account the community engagement principles (section 56 of the Act), the public transparency principles (section 58 of the Act), the strategic planning principles (section 89 of the Act), the financial management principles (section 101 of the Act), and the service performance principles (section 106 of the Act).

This policy is essentially operational and discretionary and responds to an internal audit recommendation. While it is crucial that Council decisions are transparent and open to scrutiny, there is no legal requirement for consultation with the community, however under Council's Public Transparency Policy, it will be published on Council's website once it is endorsed. This policy has no financial impact on Council and the resources required to manage and administer it are allocated from existing resource budgets.

7. CHARTER OF HUMAN RIGHTS AND RESPONSIBILITIES ACT 2006 – COMPATIBILITY STATEMENT

The Victorian Charter of Human Rights and Responsibilities Act 2006 has been considered in relation to whether any human right under the Charter is restricted or interfered with in any way by enacting any part of this policy. It is considered that this policy is consistent with the rights outlined in the Charter.

8. RESPONSE TO THE GENDER EQUALITY ACT 2020

The *Gender Equality Act 2020* and Council's Diversity, Action and Inclusion Policy have been considered in the preparation of this policy but are not relevant to its contents as it is purely administrative in nature. No particular groups that are based on gender are considered to be impacted either positively or negatively by this policy.

9. CONSIDERATION OF CLIMATE CHANGE AND SUSTAINABILITY

Council's Declaration on a Climate and Ecological Emergency, Council's Climate Change Emergency Strategy 2020-2030 and the requirements of the *Local Government Act 2020* in relation to the overarching governance principle on climate change and sustainability have been considered in the preparation of this policy but are not relevant to its contents. The policy is purely administrative in nature and the methods by which this policy is implemented are purely driven by electronic means. No paper needs to be generated to action any of the reporting requirements within this policy.

10. RESPONSIBILITIES

The following details the key actions, reviews and reports required by Council's Legislative Compliance Framework. It details who is responsible for each activity and the required timing. Independent review may be sought from time to time to confirm that Council's approach to compliance is consistent with best practice.

10.1 COUNCILLORS

As elected representatives, Councillors are required to act in accordance with the Councillor Code of Conduct and the *Local Government Acts 1989 and 2020*. The role of a Council is to provide good governance in its municipal district for the benefit and wellbeing of the municipal community and must, in the performance of its role, give effect to the overarching governance principles outlined in the *Local Government Act 2020*. This policy provides Council with assurance that the organisation's legislative requirements are being met.

10.2 CHIEF EXECUTIVE OFFICER (CEO) AND EXECUTIVE MANAGEMENT TEAM

The Chief Executive Officer (CEO) has the ultimate delegated responsibility for legislative compliance across and within the organisation. The CEO is responsible for leading a compliance culture across the organisation through promoting and supporting the Legislative Compliance Policy. In order to efficiently discharge these responsibilities, the CEO delegates some of the powers, duties and functions required to other staff within

the organisation. The CEO and Executive Management Team will annually review compliance activities for the coming year and identify any key risk management issues.

10.3 MANAGER GOVERNANCE

The Manager Governance, on behalf of the CEO, has overall responsibility for the control and coordination of the Compliance Register and coordinating the broad and general legislative compliance framework across the organisation. Specifically, the Manager Governance is responsible for:

- managing and maintaining Council's Compliance Register and Instruments of Delegation;
- managing and maintaining Council's statutory registers referred to in this policy;
- developing and implementing Council's Legislative Compliance Framework under this policy;
- identifying, in conjunction with Managers and Responsible Officers, compliance requirements and training needs and promoting awareness of compliance obligations;
- providing advice to relevant staff and Responsible Officers about new or changed legislation, its content and application to Council where appropriate;
- identifying and reviewing legislative obligations and the nomination of Responsible Officers;
- reporting compliance breaches to the Chief Executive Officer and ensuring that appropriate and timely corrective actions are undertaken;
- reviewing the currency and effectiveness of this policy;
- reviewing the current status of compliance actions, potential or actual breaches of legislation or this policy and other relevant issues of high risk;
- ensure staff are aware of Council's Legislative Compliance Policy and their obligations under this policy;
- conducting regular compliance audits as required by the CEO; and
- reporting to the Chief Executive Officer and Audit & Risk Committee in the manner outlined within this policy or in any manner requested.

10.4 MANAGER PEOPLE AND PROCUREMENT SERVICES

The Manager People and Procurement Services has responsibility for ensuring that Council's position descriptions refer to a role's legislative requirements, compliance obligations and any delegated powers, duties or functions relevant to a particular role.

10.5 AUDIT AND RISK COMMITTEE

Under the *Local Government Act 2020*, the Audit and Risk Committee must monitor the compliance of Council policies, monitor Council financial and performance reporting, monitor and provide advice on risk management and fraud prevention systems and controls and oversee internal and external audit functions.

10.6 DIRECTORS AND MANAGERS

Directors and senior managers are responsible for ensuring that appropriate resources, systems and processes are in place to implement this policy across the organisation, comply with legislative and regulatory requirements within their specific areas of operational responsibility and ensure that any potential or actual legislative non-compliance has been identified and is being managed appropriately. Specifically they are responsible for:

- promoting an ethical and positive compliance culture in relation to the organisation's legislative responsibilities and encouraging behaviours that create and support Council's Legislative Compliance Policy;
- ensuring those in their directorate and/or unit are made aware that they are expected to comply with this policy, are aware of its existence and understand what is required of them;
- remaining aware of the compliance obligations (including monitoring for changes in legislation and regulation) within their areas of control;
- ensuring that compliance continues to be maintained, including providing advice to other staff within their units as required;
- ensuring appropriate education and training for those required to implement, oversee and comply with legislative compliance;
- reporting non-compliance or potential non-compliance to the Manager Governance;
- developing specific controls and strategies or corrective actions to manage significant risks of noncompliance or breaches in their unit in a timely manner;
- certifying compliance for their area of control if and when required;
- identifying and reviewing legislative obligations and nomination of Responsible Officers when requested to do so by the CEO or Manager Governance;
- monitoring legislative compliance responsibilities in position descriptions and in relevant discussions at performance reviews; and
- monitoring compliance with the relevant legislation and related Council policies.

Commitment must be demonstrated by all senior officers by making themselves fully aware of the organisation's legislative obligations within their area of accountability or span of control.

10.7 RESPONSIBLE OFFICERS

In addition to the above responsibilities, Responsible Officers will work closely with the Manager Governance and have direct responsibility for responding to legislative obligations within the Compliance Register. Specifically, they will:

- monitor identified legislation and regulations for change and ensure that compliance continues to be maintained, including providing advice to other staff within their units as required;
- signing-off on all obligations (both legislative and internal audit) allocated to them in a timely manner and seeking assistance and guidance from their direct manager when needed to ensure they understand the requirements and legislation they must comply with to undertake their duties;
- remaining aware of the compliance obligations (including monitoring for changes in legislation and regulation) within their areas of control;
- assisting the Manager Governance to allocate any obligations and advise on appropriate timeline and frequency of those obligations; and
- assisting to promote an ethical and positive compliance culture in relation to the organisation's legislative responsibilities and encourage behaviours that create and support Council's Legislative Compliance Policy.

10.8 ALL STAFF

All staff generally have a responsibility to ensure that their activities on behalf of Council comply with all applicable laws. All staff are responsible for:

- compliance with all relevant legislation;
- adherence to the compliance obligations relevant to their position;

- performing their duties in a lawful and safe manner;
- undertaking training as required on compliance activities and initiatives;
- undertaking corrective actions to compliance breaches in a timely manner;
- reporting and escalating compliance concerns, issues, complaints and failures;
- referring to relevant Council policies or having a discussion with their manager before acting if they are uncertain as to what is legally compliant behaviour in a given situation; and
- familiarising themselves with Council policies concerning compliance within specific areas of legislation that affect their workplace and activities.

11. REPORTING, MONITORING AND REVIEW

11.1 REPORTING

The Compliance Register monitors all major legislative obligations as outlined in this policy and a compliance report will be submitted to the Executive Management Team and the Audit and Risk Committee annually.

The Compliance Register monitors and manages all internal audit obligations until they are completed and a progress report against all internal audit obligations is provided to the Executive Management Team and the Audit and Risk Committee quarterly.

11.2 MONITORING AND REVIEW

Regular reporting to both the Executive Management Team and Audit and Risk Committee will provide regular indicators of the effectiveness of this policy in raising awareness levels and developing a functional compliance culture across the organisation. The policy will be reviewed every two years to ensure it remains current with any legislative requirements and a survey will be undertaken of staff prior to review so that any improvements or adaptations can be incorporated.

12. REFERENCES AND RELATED DOCUMENTS

12.1 LEGISLATION

- Local Government Act 1989
- Local Government Act 2020

12.2 RELATED COUNCIL AND OTHER POLICIES, PROCEDURES, STRATEGIES, PROTOCOLS, GUIDELINES

- AS ISO 19600:2015 Compliance Management Systems
- Crowe Horwath Legislative Compliance Review, July 2019
- Greater Dandenong City Council Staff Code of Conduct
- Greater Dandenong City Council Instruments of Delegation
- Greater Dandenong City Council Public Transparency Policy
- Greater Dandenong Enterprise Bargaining Agreement

13. APPENDIX 1 – MAJOR INSTRUMENTS OF STATE LEGISLATION RELEVANT TO COUNCIL

The major instruments of State legislation that Council operates under are listed, but are not limited to, the below. Instruments of legislation are updated from time to time, names may change and requirements may be altered. New legislation may also be developed that becomes relevant to Council.

- Aboriginal Heritage Act 2006
- Associations Incorporation Reform Act 2012
- Building Act 1993
- Building Interim Regulations 2017
- Building Regulations 2018
- Catchment and Land Protection Act 1994
- Charter of Human Rights and Responsibilities Act 2006
- Child Wellbeing and Safety Act 2005
- Children Youth and Families Act 2005
- Climate Change Act 2010
- Climate Change Act 2017
- Conservations, Forest and Lands Act 1987
- Country Fire Authority Act 1958
- Country Fire Authority Regulations 2014
- Cultural and Recreational Lands Act 1963
- Dangerous Goods Act 1985
- Dangerous Goods (Explosives) Regulations 2011
- Development Victoria Act 2003
- Disability Act 2006
- Domestic Animals Act 1994
- Domestic Building Contracts Act 1995
- Drugs Poisons and Controlled Substances Regulations 2017
- Education and Care Services National Law Act 2010
- Educations and Training Reform Act 2006
- Electoral Act 2002
- Electrical Safety Act 1998
- Emergency Management Act 1986
- Emergency Management Act 2013
- Environment Protection Act 1970
- Equal Opportunity Act 2010
- Estate Agents Act 1980
- Family Violence Protection Act 2008
- Fences Act 1968
- Filming Approval Act 2014
- Fines Reform Act 2014
- Fires Services Property Levy Act 2012
- Flora and Fauna Guarantee Act 1984
- Food Act 1984
- Freedom of Information Act 1982
- Gambling Regulation Act 2003
- Gender Equality Act 2020
- Graffiti Prevention Act 2007
- Health Records Act 2001
- Heavy Vehicle National Law Application Act 2013
- Heritage Act 1995
- Housing Act 1983

- Impounding of Livestock Act 1994
- Independent Broad-Based Anti-Corruption Commission Act 2011
- Infringements Act 2006
- Infringement Regulations 2016
- Land Acquisition and Compensation Act 1986
- Land Acquisition and Compensation Regulations 2010
- Land Act 1958
- Liquor Control Reform Act 1998
- Local Government Act 1989
- Local Government Act 2020
- Local Government (General) Regulations 2015
- Local Government (Governance and Integrity) Regulations 2020
- Local Government (Long Service Leave) Regulations 2012
- Local Government (Planning and Reporting) Regulations 2014
- Magistrates Court Act 1989
- Major Transport Projects Facilitation Act 2009
- Mineral Resources (Sustainable Development) Act 1990
- National Parks Act 1975
- Occupational Health and Safety Act 2004
- Occupational Health and Safety Regulations 2007
- Occupational Health and Safety Regulations 2017
- Pipelines Act 2005
- Planning and Environment Act 1987
- Planning and Environment (Fees) Regulations 2016
- Planning and Environment Regulations 2015
- Privacy and Data Protection Act 2014
- Public Interest Disclosures Act 2012
- Public Health and Wellbeing Act 2009
- Public Health and Wellbeing Regulation 2009
- Public Records Act 1973
- Racial and Religious Tolerance Act 2001
- Rail Safety Act 2006
- Residential Tenancies Act 1997
- Residential Tenancies (Caravan Parks and Moveable Dwellings Registration and Standards) Regulations 2010
- Road Management Act 2004
- Road Management (General) Regulations 2016
- Road Management (Works and Infrastructure) Regulations 2015
- Road Safety Act 1986
- Road Safety Road Rules 2009
- Road Safety Road Rules 2017
- Road Safety (General) Regulations 2009
- Road Safety (Traffic Management) Regulations 2009
- Road Safety (Vehicles) Regulations 2009
- Rooming House Operators Act 2016
- Second-Hand Dealers and Pawnbrokers Act 1989
- Sex Work Act 1994
- Sheriff Act 2009
- Sport and Recreation Act 1972
- Subdivision Act 1986
- Subdivision (Fees) Regulations 2016
- Subdivision (Procedures) Regulations 2011
- Subdivisions (Registrar's Requirements) Regulations 2011
- Summary Offences Act 1966
- Taxation Administration Act 1997

- Transfer of Land Act 1958
- Transport (Safety Schemes Compliance and Enforcement) Act 2014
- Urban Renewal Authority Victoria Act 2003
- Valuation of Land Act 1960
- Victoria Grants Commission Act 1976
- Victorian Data Sharing Act 2017
- Victorian Energy Efficiency Target (Project-Based Activities) Regulations 2017
- Victorian Environmental Assessment Council Act 2001
- Victorian Inspectorate Act 2011
- Victorian Planning Authority Act 2017
- Victorian State Emergency Service Act 2005
- Water Act 1989

14. APPENDIX 2 – MAJOR INSTRUMENTS OF FEDERAL LEGISLATION RELEVANT TO COUNCIL

The major instruments of Federal legislation that Council operates under are listed, but are not limited to, the below. Instruments of legislation are updated from time to time, names may change and requirements may be altered. New legislation may also be developed that becomes relevant to Council.

- Age Discrimination Act 2004
- Australian Human Rights Commission Act 1986
- Disability Discrimination Act 1992
- Fair Work Act 2009
- Racial Discrimination Act 1975
- Sex Discrimination Act 1984
- Work Health and Safety Act 2011

15. APPENDIX 3 – IMPLEMENTING COUNCIL'S LEGISLATIVE COMPLIANCE FRAMEWORK

Governance & Culture Identify compliance obligations	Commitment Management accountability	Key Legislative Obligations Common Law Federal and State Legislation Standards, Local Laws, Policies		Environment Continuous improvement culture Strategic internal audit program	
Implementation Assign responsibility	Key compliance roles and responsibilities CEO Manager Governance Manager People and Procurement Services Audit and Risk Committee Directors and Managers Responsible Officers Staff		Fraining and awaren Manager Governance Manager People and Procurement Services Directors and Managers		Controls Policies, codes, processes and procedures
Monitoring Assess high risks	IdentificationMonitoringIdentifying high risk legislative compliance and internal obligationsReporting and review of compliance risks				
Reporting Report compliance	Reporting Compliance high risks flagged Responsible officer's attestation in sign-off process				
Continued Improvement Regular reviews	Regular Reviews Council has a comprehensive Internal Audit program The Legislative Compliance Policy will be reviewed every two years				