

## COMPLIANCE MANAGEMENT

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### 1 PURPOSE

The University recognises that an important part of achieving its strategic direction is to have an effective system of governance, which includes conducting its activities in accordance with University policies and procedures, and the law, to enhance community confidence in its administration of public assets.

To meet this commitment, the University will maintain the highest standards of diligence in all areas of public accountability through its Compliance Management System and in the promotion of a 'compliance culture'.

### 2 SCOPE

This policy and procedure applies to all areas, staff and officers of the University and its wholly owned subsidiaries.

**3 EFFECTIVE DATE**                      24 November 2015

### 4 LEGISLATIVE AUTHORITY

*Central Queensland University Act 1998 Qld*

### 5 POLICY STATEMENT

5.1 CQUniversity is committed to complying with all relevant legislation and obligations. Though a compliance policy is not a legislative requirement, the University wishes to promote a culture of good corporate governance and compliance practices. To facilitate this, the University uses a Compliance Management System based on the Australian and International Standard (AS/ISO 19600:2015 Compliance Management Systems), to demonstrate its commitment to:

- the highest standards of ethics and compliance with all applicable laws, regulations, rules and policies,
- embedding compliance in the culture of the organisation, and
- integrating compliance with the University's financial, risk, quality, environmental and health and safety management processes and its operational requirements and procedures.

5.2 The University's Compliance Management System is founded on the following principles:

- compliance obligations are identified and assessed for mitigation,
- compliance and risk are managed at the operational level, with accountability through defined reporting structures,
- staff training needs are identified and addressed,
- behaviours that create and support compliance are encouraged and behaviours that compromise compliance are not tolerated,
- controls exist to manage key compliance obligations and achieve desired behaviours,
- the University is able to demonstrate its Compliance Management System through documentation and practice, and
- the Compliance Management System will be regularly reviewed and opportunities for improvement identified.

## 6 PROCEDURE

- 6.1 The Compliance Management System incorporates the following components:
- management of compliance obligations integrated into standard management, risk management and accountability processes,
  - provision of education, training and advice on compliance related matters,
  - monitoring and reporting mechanisms and the provision of a complaint reporting and resolution process, and
  - promotion of continuous improvement in compliance processes.
- 6.2 The Compliance Management System comprises:
- a register of University policies, procedures, guidelines and other internal compliance obligations,
  - a register of University-wide authorities and delegations,
  - a register of major external legislative obligations,
  - a risk management framework that integrates and aligns compliance management with the University's risk management systems and business processes, and
  - regular reporting to the Council, through the Audit, Compliance and Risk Committee, ensuring effective monitoring, oversight and Executive Management decision regarding compliance with legislative and regulatory requirements and promoting a culture committed to lawful and ethical behaviour.
- 6.3 Senior Executives, Directors and Managers are responsible for advising the Director, Governance of the introduction of new or amended legislation or regulations, and any changes in interpretation of legislative obligations by the courts as relevant to their areas of responsibility, to update the register of major external legislative obligations. The University Solicitor will also monitor the legal environment and advise the Director, Governance of any changes.
- 6.4 For each obligation identified within the register of major external legislative obligations, a Responsible Officer will be appointed. The Responsible Officer will be considered the owner for compliance with that particular obligation and is responsible for providing guidance and support to all staff in meeting the obligation, liaising with external parties, and ensuring that obligations are monitored and met throughout the University. Specific compliance responsibilities of Responsible Officers are to be incorporated into their performance plans.
- 6.5 Responsible Officers are required to monitor their compliance obligations, and to annually certify that the University has been compliant with each obligation for which they are accountable. This certification will include a report on any instances of compliance failure and the remedial action taken. Non-compliance issues of a confidential or sensitive nature can be reported directly to the Director, Governance.
- 6.6 Non-compliance will be addressed through existing operational management processes, with reporting to senior management as appropriate. Remedial action will also be determined in the context of usual management processes.
- 6.7 Complaints about non-compliance, impacts of remedial action, or other issues arising from the Compliance Management System will be dealt with at the operational management level, through existing grievance procedures, the Student Ombudsman's Office, or within the parameters of the Public Interest Disclosure legislation.
- 6.8 The Governance Directorate will disseminate information to the University community on the Compliance Management System to increase awareness of compliance requirements and responsibilities.
- 6.9 The further development of staff awareness and commitment to compliance is the responsibility of operational managers, with the support of the People and Culture Directorate and the Governance Directorate, through avenues such as induction and training programs.

## 7 RESPONSIBILITIES

### Compliance, Monitoring and Review

- 7.1 In accordance with the CQUniversity Code of Conduct, it is the responsibility of all staff (commensurate with their roles, functions and span of control) to comply with relevant obligations.
- 7.2 Responsible Officers will ensure that their compliance activities are subject to continuous improvement processes.
- 7.3 Periodic reviews of compliance will be conducted, by either the Internal Audit Directorate or Governance Directorate. The results of these reviews will be reported through the Deputy Vice-Chancellor (Student Experience and Governance) to the Audit, Compliance and Risk Committee. This will provide Executive Management with assurance that the Compliance Management System is effective, and will highlight areas that can be improved.
- 7.4 The Deputy Vice-Chancellor (Student Experience and Governance) has portfolio responsibility for compliance. The Director, Governance, has day to day responsibility for compliance coordination within the University.
- 7.5 Executives and managers are responsible for ensuring the external legislative compliance obligations relevant to their areas of responsibility and are met. They are also responsible for making necessary updates to the applicable policies and/or procedures to maintain the University's compliance commitment.
- 7.6 A periodic survey of compliance practices and awareness may be conducted. Operation of the Compliance Management System itself will be reviewed every three years.

### Reporting

- 7.7 An annual report will be provided to the Council, through the Audit, Compliance and Risk Committee on the Compliance Management System and will include:
- the status of the University's compliance with the external legislative compliance obligations, including any instances of compliance failure and the remedial action taken,
  - the status of the Compliance Management System and the level of compliance across the University, and
  - a continuous improvement perspective in regards to systems development.

### Records Management

- 7.8 All records relevant to this document are to be maintained in a recognised University recordkeeping system.

## 8 DEFINITIONS

**Code:** a statement of recommended practice developed internally by the University or externally by another body (may be mandatory or voluntary).

**Compliance:** meeting the requirements of laws, organisational standards and codes, principles of good governance, and accepted community and ethical standards.

**Compliance culture:** the values, ethics and beliefs that exist throughout the University and interact with the University's structures and control systems to produce behavioural norms that are conducive to compliance outcomes.

**Compliance failure:** an act or an omission whereby the University does not meet its compliance obligations, processes or behavioural obligations.

**Compliance management system:** a series of activities that when combined are intended to achieve compliance.

**Obligation:** a requirement specified by laws, regulations, codes or organisational standards.

**Organisational standards:** documented codes of ethics, codes of conduct, good practices and charters that the University has adopted for its operations.

**Responsible Officer:** the head of an organisational area allocated responsibility for ensuring compliance with a specific obligation.

## 9 RELATED LEGISLATION AND DOCUMENTS

### Related Legislation and Supporting Documents

[CQUniversity Code of Conduct](#)

[Risk Management Policy](#)

[Risk Management Framework and Guidelines](#)

[Australian and International Standard AS/ISO 19600: 2015 Compliance Management Systems – Guidelines](#)

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