Compliance Management Policy

Section 1 - Audience and Scope

(1) This policy applies to all staff and all areas of the University of Newcastle (the University) including any entities it may control from time to time.

Section 2 - Executive Summary

(2) Effective compliance management supports the University's governance arrangements and provides a systematic, structured and timely approach to identify and manage compliance obligations.

(3) Timely compliance management provides assurance to the University Council, Risk Committee and Vice-Chancellor that regulatory responsibilities are identified, monitored and managed appropriately, with consideration given to Council's risk appetite and objectives.

Section 3 - Purpose

(4) This policy sets out the University's commitment to compliance management and outlines key roles and responsibilities. The process for identifying, disseminating, monitoring and reporting on compliance management is outlined in the Compliance Management Framework, which should be read in conjunction with this policy.

(5) This Policy and the Compliance Management Framework have been prepared based on the International Standard which has been adopted by Standards Australia AS ISO 19600:2015 (Compliance Management Systems – Guidelines).

Section 4 - Principles

(6) Compliance management is the identification and mitigation of regulatory risks within the defined risk appetite. Effective compliance management is both timely and continuous to support the management of risks in an evolving regulatory landscape and to ensure compliance obligations are considered in decision-making and management practices.

(7) The University will maintain a Compliance Management Framework to provide the University Council, Risk Committee, Vice-Chancellor and Executive Leadership Team reasonable assurance that:

a. strategic and corporate objectives are supported by an efficient and effective compliance framework;
b. regulatory obligations are identified, assessed, effectively monitored and managed;
c. the effectiveness of controls are maintained and improved, where necessary; and
d. there is an adequate level of compliance with policies, standards, procedures and applicable laws, regulations and licences.

(8) Compliance management will be incorporated into academic, strategic and operational planning, processes and review at all levels across the University.

Section 5 - Responsibilities

(9) The Council has delegated the monitoring of compliance to the Risk Committee supported by other standing Committees of Council, as relevant. The responsibilities of the Committees are contained in the Committee Charters.

(10) The Vice-Chancellor is responsible for:

a. ensuring that a compliance management system is established, implemented and maintained in line with the Council's risk appetite and the Risk Management Framework;
b. maintaining the Compliance Management Framework and controls to manage the University's compliance obligations; and
c. reporting to Council and the Risk Committee on whether compliance is being managed effectively.

(11) The Executive Leadership Team provides advice to the Vice-Chancellor on matters of compliance management and provides leadership in portfolio areas.

(12) The General Counsel and Chief Governance Officer, Legal and Governance Services is responsible for facilitating the development, implementation, review and continuous improvement of the Compliance Management Framework.

(13) University leaders are responsible for the implementation of the Compliance Management Framework within their respective areas.

(14) All staff are responsible for identifying, communicating and responding to expected, emerging or changing compliance obligations to support the University's compliance management.

Status and Details

Status	Current
Effective Date	16th December 2019
Review Date	30th March 2026
Approval Authority	Risk Committee
Approval Date	27th November 2019
Expiry Date	Not Applicable
Responsible Executive	Alex Zelinsky Vice-Chancellor alex.zelinsky@newcastle.edu.au
Enquiries Contact	Legal and Governance Services

Glossary Terms and Definitions

"Council" - The governing authority of the University established under section 8A of the University of Newcastle Act 1989.

"University" - The University of Newcastle, a body corporate established under sections 4 and 5 of the University of Newcastle Act 1989.

"Risk" - Effect of uncertainty on objectives. Note: An effect is a deviation from the expected, whether it is positive and/or negative.

"Risk appetite" - Risk appetite is the amount and type of risk that an organisation (or individual) is willing to accept or pursue in order to achieve its objectives.

"Law" - All applicable statutes, regulations, by-laws, ordinances or subordinate legislation in force from time to time anywhere in Australia, whether made by the Commonwealth, a State, a Territory or a local government and, where the context permits, includes the common law and equity.

"Staff" - Means a person who was at the relevant time employed by the University and includes professional and academic staff of the University, by contract or ongoing, as well as conjoint staff but does not include visitors to the University.

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