

Compliance Management Policy

Section 1 - Introduction

- (1) The University of Newcastle (University) is obliged to comply with various laws, policies and regulations arising from local, state, national and international authorities. Effective compliance management identifies, understands, manages and mitigates any risk of non-compliance with these obligations.
- (2) Compliance management supports the University to make decisions and act in a manner that contributes to the University's ethical and social responsibility, and impacts all aspects of teaching, research and services provided to students, staff and the communities in which we operate.
- (3) Effective compliance management is an integral part of the University's governance arrangements and links with financial, risk, policy, environmental and health and safety systems, and is embedded within the University's culture. Compliance structures and practices support better decision making as well as the safeguarding of assets to achieve strategic objectives.
- (4) Compliance is a shared responsibility to support behaviours, actions and activities that are consistent with relevant laws and regulations.
- (5) The Compliance Program:
- establishes the University's methodology for integrating compliance into operations;
 - supports compliance practices;
 - provides efficient and effective compliance controls;
 - ensures that compliance requirements can be met without duplication of effort; and
 - provides the key principles to guide compliance management and support the University's values, objectives, strategy and regulatory risk appetite.
- (6) This Framework is based on the International Standard as adopted by Standards Australia - AS ISO 19600:2015 Compliance management systems - Guidelines.

Section 2 - Audience

- (7) 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 3 - Executive Summary

- (8) Effective compliance management supports the University's governance arrangements and provides a systematic, structured and timely approach to identify and manage compliance obligations.
- (9) 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 4 - Purpose

(10) 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.

(11) 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 5 - Principles

(12) 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.

(13) The University will maintain a [Compliance Management Framework](#) to provide the University Council, Risk Committee, Vice-Chancellor and Executive Committee 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.

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

Section 6 - Responsibilities

(15) 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.

(16) 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.

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

(18) The Director, Assurance Services is responsible for facilitating the development, implementation, review and continuous improvement of the [Compliance Management Framework](#).

(19) University leaders are responsible for the implementation of the [Compliance Management Framework](#) within their respective areas.

(20) 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	To Be Advised
Review Date	To Be Advised
Approval Authority	
Approval Date	To Be Advised
Expiry Date	Not Applicable
Enquiries Contact	Legal Office

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" - An organisation's approach to assess and eventually pursue, retain, take or turn away from risk.

"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.