

Compliance Management Policy

1. Purpose and Scope

- 1.1 The Compliance Policy sets out how AIAT fulfils compliance obligations relating to its operations and maintains a high awareness of compliance obligations among staff.
- 1.2 This policy applies to all applies to all AIAT academic and non-academic staff and all members of Boards and Committees.

2. Definitions

Refer to *Glossary of Terms*.

3. Policy Statement

- 3.1 AIAT is committed to the highest level of compliance with relevant legislation, regulations, standards and codes. AIAT fulfils its compliance obligations through strong governance and leadership, a culture of compliance and a robust set of policies and values.
- 3.2 AIAT will maintain and implement policies which promote compliance with relevant legislation, regulations, standards and codes.
- 3.3 AIAT's Compliance Management Framework ('the Framework') aims to create an integrated, strategic and consistent approach to the management of AIAT's compliance obligations and articulates the process for identifying, recording, evaluating, prioritising and monitoring AIAT's compliance obligations. AIAT's Compliance Management Framework is aligned to the *AS 3806–2006 Australian Standard: Compliance programs*. This is an internationally recognised standard on better practice compliance management for all types of organisations.

4. Policy Principles

- 4.1 A Compliance Management Framework will be established that captures the compliance obligations of the Institute.
- 4.2 A Register of all identified laws, regulations, codes, guidelines and other compliance matters with which the Institute must comply will be established and maintained.
- 4.3 Staff and Board Members will be provided education and training to assist them to understand their role in managing compliance obligations. Compliance training will be provided to all staff during the on-boarding process. Staff and Board Members will be required to complete refresher and/or additional compliance training modules in accordance with their role and responsibilities.

- 4.4 Compliance obligations will be integrated into the day-to-day operations of the Institute.
- 4.5 Non-compliance issues are dealt with in accordance with Institute's policies, procedures and existing reporting mechanisms.
- 4.6 The effectiveness of the compliance program will be monitored and continuous improvement activities enacted.

5. Roles and responsibilities

- 5.1 The Board of Directors is responsible for:
 - 5.1.1 exhibiting a high level of commitment to compliance management framework;
 - 5.1.2 fostering and encouraging an environment where compliance is accepted as the day-to-day responsibility of all individuals;
 - 5.1.3 managing compliance on advice from the Risk, Quality and Audit Committee; and
 - 5.1.4 approving the Compliance Register.
- 5.2 The Risk, Quality and Audit Committee:
 - 5.2.1 Oversees AIAT's compliance management activities;
 - 5.2.2 Recommends the Compliance Register to the Board of Directors;
 - 5.2.3 Liaises with the Academic Board and the Academic Quality, Compliance and Risk Committee (AQCRC) regarding academic compliance issues;
 - 5.2.4 Liaises with the Executive Management Group regarding non-academic compliance issues;
 - 5.2.5 Liaises with the Finance Committee regarding financial compliance issues;
 - 5.2.6 Monitor the Compliance Register;
 - 5.2.7 Provides annual reporting on compliance management activities including any actions taken.
- 5.3 The Executive Management Group members are responsible for
 - 5.3.1 providing assurance that AIAT has complied with the obligations relevant to their area of responsibility on an annual basis; and
 - 5.3.2 fostering and encouraging an environment where compliance is accepted as the day-to-day responsibility of all individuals.
- 5.4 The Director: Quality Assurance and Risk Management is responsible for:
 - 5.4.1 maintaining a register and calendar of compliance obligations;
 - 5.4.2 coordinating annual compliance risk reporting through the Institute's risk management processes;
 - 5.4.3 coordinating the annual certification process;
 - 5.4.4 developing educative training programs for relevant obligations to raise awareness of the compliance obligations;
 - 5.4.5 providing advice to responsible officers and other staff on compliance obligations and issues; and
 - 5.4.6 providing annual reports to the Risk, Quality and Audit Committee.

- 5.5 Staff and Board Members are responsible and accountable for their own awareness of, and compliance with, applicable laws, policies and relevant training, and for reporting any non-compliance as per the Institute’s policies, procedures and existing reporting mechanisms.

6. Policy Details

Institution	Australian Institute of Advanced Technologies (AIAT)
Policy name	Compliance Management Policy
Policy Reference No.	POL – 03
Policy Approval	Board of Directors
Policy Authority	Executive Management Group
Responsible Officer	CEO
Governance Reference Threshold Standards	HESF (2021): 1.5.3, 6.2.1.a
Related Documents	Compliance Management Procedure Staff Code of Conduct Compliance Register
Related Legislation	Higher Education Standards Framework (Threshold Standards) 2021 (HESF) AS 3806–2006 Australian Standard: Compliance programs
References	AIAT has referred and benchmarked with the following institutions and policies during the creation of this policy: Deakin University (2019) Compliance Management Policy Excelsia College (2020) Compliance Policy Southern Cross University (unknown) Compliance Policy, <i>retrieved 31 January 2022</i>
Date of approval	31 March 2022
Review date	December 2024
Policy Category	Governance

6. Document Version Control

Document No	POL - 03	Last Modify Date	Summary of Changes
Version No	1.0	NA	Initial version approved by Board of Directors
	1.01	31/3/2022	Acronym typos fixed, HESF updated
Created Date	March 2022		