


DOCUMENT TYPE	D	 LA TROBE UNIVERSITY
ADMINISTRATIVE	5	
GOVERNANCE	1	
RISK MANAGEMENT	2	
NUMBER	003	

COMPLIANCE PROCEDURES

Parent Policy Title	Compliance Policy																	
Associated Documents	Student Complaints and Grievance Handling Policies and Procedures; Sexual Harassment, Harassment and Discrimination Policy and Procedures; and Fraud and Corruption Control Policy and Procedures.																	
Preamble	La Trobe University is committed to ensuring that it complies with all applicable laws and regulations.																	
General																		
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1. Compliance Framework	The Compliance Framework comprises the Compliance Register, the process for ensuring that the information within the Register is kept as current as practicable, and mechanisms for reporting on the Register and its use.																	
2. Compliance Register	The Compliance Register is the key means, at an organisational level, for: <ul style="list-style-type: none"> • Identifying and recording the key legislative and regulatory requirements for La Trobe University; • Recording the key compliance activities required of the University; and • Identifying any training required to achieve or assist in meeting compliance. 																	
3. Maintaining the Compliance Register	The process is conducted over an annual cycle: <ul style="list-style-type: none"> • November: Compliance Register circulated to Schools and Administrative Units for review and completion; 																	

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	<ul style="list-style-type: none"> • February: return of Compliance Registers to Risk Management Unit and confirmation of risk rating and prioritisation; • March: training calendar updated with mandatory and discretionary training requirements; • July: mid year review and updating of compliance register; • Quarterly: reporting to the Corporate Governance and Audit Committee on the status of the Compliance register and matters arising; and • Annually: review of the effectiveness of the Compliance program and framework.
<p>4. Identification and rectification of non-compliance</p>	<p>Material non-compliances are identified and investigated in order to determine their cause, their potential impacts upon the University and to determine the mechanisms for rectification.</p> <p>Notification of non-compliance is made to the Risk Management Unit as soon as practicable following discovery. The Director Risk Management Unit will determine requirements for further investigation and assign responsibilities for rectification.</p>
<p>5. Roles and responsibilities</p>	<p>Management It is the responsibility of all managers to both promote and ensure that compliance with all applicable laws and regulations is undertaken within their respective areas of accountability.</p> <p>Senior management (such as Heads of School, Directors, etc) have the additional responsibility for ensuring that the Compliance Register identifies key compliance requirements (where applicable) for their specific areas of responsibility.</p> <p>Staff It is the responsibility of staff to ensure that they are aware of the compliance requirements pertaining to their role within the University and ensure that their actions are compliant with all applicable laws and regulations.</p> <p>Corporate Governance and Audit Committee The role of the Corporate Governance and Audit Committee is to provide oversight, on behalf of the Council, of the Compliance Framework, including:</p> <ul style="list-style-type: none"> • Accountability for the effective operation of the Framework; • Monitoring the key compliance requirements of the University; and • Ensuring that outstanding compliance breaches are rectified appropriately. <p>Risk Management Unit The Risk Management Unit (including Internal Audit) is responsible for the overall management of the Compliance Framework, including:</p>

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	<ul style="list-style-type: none"> • Establishment and maintenance of the Compliance Register; • Liaison with Faculties, Schools and Divisions in the development and review of the Compliance Register; • Review, risk analysis and prioritisation of compliance requirements; • Ongoing review and continuous improvement of compliance functions; • Identification and development of compliance education and training; • Investigation of compliance breaches; • Capture of information relating to changing laws, regulations and standards, through approaches such as: <ul style="list-style-type: none"> • Liaison with Legal Services, • Participation in professional groups, • Regular 'survey' of the environment and the University Community; and • Recommendation and facilitation of rectification activities. 																
6. Complaints handling	<p>A number of processes are established for handling complaints relating to compliance or breaches of laws and regulations, including:</p> <ul style="list-style-type: none"> • Student Complaints and Grievance Handling Policies and Procedures; • Sexual Harassment, Harassment and Discrimination Policy and Procedures; and • Fraud and Corruption Control Policies and Procedures. <p>A number of contact points are available for the notification of complaints and suspected compliance breaches:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Issues relating to</th> <th style="text-align: left;">Contact area</th> </tr> </thead> <tbody> <tr> <td>Sexual harassment, harassment & discrimination</td> <td>Equity & Access Unit</td> </tr> <tr> <td>Fraud & corruption</td> <td>Risk Management Unit</td> </tr> <tr> <td>IT breaches</td> <td>IT Helpdesk</td> </tr> <tr> <td>Occupational health and safety</td> <td>OHS Unit</td> </tr> <tr> <td>Other employment relationship issues</td> <td>Human Resources Division</td> </tr> <tr> <td>Other legal/regulatory compliance issues</td> <td>Legal Services</td> </tr> <tr> <td>Protected disclosures</td> <td>University Ombudsman</td> </tr> </tbody> </table>	Issues relating to	Contact area	Sexual harassment, harassment & discrimination	Equity & Access Unit	Fraud & corruption	Risk Management Unit	IT breaches	IT Helpdesk	Occupational health and safety	OHS Unit	Other employment relationship issues	Human Resources Division	Other legal/regulatory compliance issues	Legal Services	Protected disclosures	University Ombudsman
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7. Reporting	<p>The Risk Management Unit provides a report to the Corporate Governance and Audit Committee on a quarterly basis detailing:</p> <ul style="list-style-type: none"> • The current Compliance Register; • Details of compliance breaches identified in the previous quarter; • Risk management activities aimed at improving compliance; 																

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	<ul style="list-style-type: none"> • Current status of rectification; and • Status of compliance related training activities.
Status	Revised Format. Prior approval Corporate Governance and Audit Committee 5 December 2006.
Approval Body	Corporate Governance and Audit Committee, 27 November 2008, item 5.1
Initiating Body	Corporate Governance and Audit Committee
Definitions	
Date Effective	27 November 2008
Next Review Date	November 2012
Keywords	Compliance; Compliance Register; Complaints; Corporate Governance and Audit Committee; fraud; Ombudsman
Owner/Sponsor	Director Risk Management
Author	Director Risk Management
Contact person	Director Risk Management