TEQSA Provider ID PRV14376 • CRICOS Provider Code 04294D

Framework for Compliance Management

Approved by the Board of Directors on 24 February 2022

1.   Purpose

The purpose of the Framework for Compliance Management is to provide Iona Trinity College of Higher Education (**the College**) affirmation of its adoption of appropriate standards of governance to manage its legal and compliance obligations, thereby providing guidance for the College staff in their management of compliance obligations. The College will establish, implement, maintain, evaluate, and continuously improve its management of compliance.

This framework is based on the key principles within the Australian Standard Compliance management systems (Guidelines AS ISO 19600:2015) and is supported by the College's *Quality Assurance Framework*.

2.   Scope

This framework applies to:

- All staff of the College whether full-time, part-time, casual or contract;
- Members of the College's Governing Bodies;

3.   Compliance Statement

The Framework for Compliance Management (the framework) is designed to provide effective management of compliance issues, obligations and risks, including the identification and response to non-compliance.

The College aims to embed compliance behaviour at all levels of the College through the modelling of core values of leadership. By developing a institution-wide framework, the College demonstrates its commitment to compliance with the following obligations:

3.1   Regulations and legislation

The *Tertiary Education Quality and Standards Agency Act 2011*, the *Higher Education Standards Framework (Threshold Standards) 2021*, the *Education Services for Overseas Students Act 2000* (and related regulations) and the *National Code of Practice for Providers of Education and Training to Overseas Students 2018* (the National Code), and applicable State and Federal legislation and contractual obligations.

3.2   Organisational

Integration of compliance obligations into business processes and operations to drive effective and accountable decision making including, but not limited to, the use of standards, internal policies and frameworks, good corporate and academic governance, best practices, ethics and community expectation applied to the operation and administration of the College's services; and appropriate monitoring, reporting and training enabling the discharge of compliance responsibilities and support for the management of compliance obligations.

3.3   Governance

Appropriate oversight and support from the Board of Directors, Academic Board, Audit and Risk Committee and Principal.

The Framework for Compliance Management establishes:

- The identification of accountabilities and responsibilities for the management and reporting of compliance requirements and obligations;

- A series of reports and reviews that monitors and evaluates the compliance controls, thereby providing a basis for monitoring and improvement;

- Practices that assist with the implementation of compliance within the College;

- A consistent, rigorous and comprehensive commitment to compliance that seeks to ensure best practice of corporate governance.

4. Management of Compliance

The College's Framework for Compliance Management is designed to provide a process of continuous improvement whereby the organisation supports the commitment, implementation, improvement and monitoring of its compliance obligations.

Commitment	
Board of Directors	- The Framework for Compliance Management aligned to the College's Strategic Plan - Board of Directors to display commitment and promote effective compliance practices across the College - Compliance obligations identified. Understand the business, operating, legal and regulatory environment and document compliance obligations - Compliance risk assessment to identify, analyse and treat compliance risk within existing controls - Resources allocated to support the management of compliance
Academic Board	- Academic compliance - Quality assurance and compliance as required by the *Higher Education Standards Framework (Threshold Standards) 2021* - Academic governance, learning and teaching, academic support, student support
The Principal (accountable to the Board of Directors)	*Higher Education Standards Framework (Threshold Standards) 2021 (relating to corporate governance)* - Oversight of the compliance risk, controls and legislative compliance - Financial management - Planning - Information technology - Communications

	• Recruitment • Marketing • Human resources • Safety and security • Facilities
Implementation	
Principal	• Training on compliance and risk undertaken on a regular basis • A culture of compliance encouraged • Disseminate internal policies and frameworks to staff and students • Establish controls to manage compliance obligations
External independent auditor	• Compliance is managed and a culture of compliance evaluated through annual audits
Improvement	
Principal	• Review and improve the Framework for Compliance Management annually

All College Staff	• Compliance breaches may be identified from a number of sources including:
	
	    o reporting and/or self-assessments by staff;
	
	    o annual reporting;
	
	    o audit reports;
	
	    o fines, penalties, etc.;
	
	    o adverse publicity;
	
	    o inquiry from regulators or government bodies;
	
	    o complaints;
	
	    o OH&S incidents;
	
	    o systemic issues.
	
	• Identified breaches are addressed, including development of an action plan, strengthening the control environment and managing any consequences of the breach.

Monitoring	

Principal	• Compliance performance monitored and reported annually including risks, breaches, remedial action, time frame and responsible manager.
All College Staff	• Compliance demonstrated through The College's documentation and practice.

5. Responsibilities

All College staff are responsible for compliance as outlined in the Framework for Compliance Management. The College encourages the timely reporting of potential compliance breaches. Staff who knowingly and/or recklessly breach the College's compliance obligations may be subject to disciplinary action.

Responsibilities include:

- The Board of Directors, the Academic Board, the Principal and Management should actively demonstrate commitment to compliance.

- The Audit and Risk Committee is responsible for monitoring risks, controls and compliance with legislative and regulatory obligations and ensuring it receives regular compliance reporting and requesting follow-up actions where necessary.

- All managers are responsible for the effective development, implementation and maintenance of the Framework for Compliance Management, including compliance monitoring and implementing corrective actions in the event of a breach.

- All staff must adhere to compliance obligations, undertaking relevant training and reporting compliance concerns, issues, complaints and breaches.

- The Principal:
  - o Responds to compliance issues raised and reviewing and updating each compliance obligation as well as identifying new obligations or changes in obligations
  - o Assists with coordinating risk assessments, internal and external audits and compliance reviews
  - o Identifies and arranges relevant training to improve or ensure compliance, and
  - o Oversees the development, implementation and continuous improvement of the Framework for Compliance Management including recordkeeping of compliance issues and non-compliance incidents.

6. Communication

The Framework for Compliance Management will be implemented and communicated through the College via:

- The College's website;
- Internal circulation to all staff;
- Staff professional development and meetings.

7.   Definitions

For the purposes of this framework, the following terms are defined as follows:

Compliance	Adhering to the requirements of laws, industry and organisational standards and codes, principles of good governance practice and accepted community and ethical standards.
Compliance Breach	A failure to adhere to an obligation(s) determined by legislation, regulation, contract and/or internal frameworks.
Compliance Risk	The risk of legal or regulatory sanction, financial or reputational loss arising from a failure to abide by the College's compliance obligations.
Compliance Obligation	An action or inaction that is mandated by legislation, regulation, contract and/or internal framework.

8.   Version history

Version #	Changes	Approval Body	Approval Date
1.0	Original Version	Board of Directors	24/02/22

9.   Additional Information

Policy Status	Approved
Policy Owner	Principal
Next Review Date	3 years from Approval Date
Associated Internal Documents	Quality Assurance Framework Benchmarking Policy and Procedure
Higher Education Standards Framework (Threshold Standards) 2021	Standards 6.1.1, 6.2.1a and 6.2.1k
National Code of Practice for Providers of Education and Training to Overseas Students 2018	No relevant standard
Other Applicable Legislation and Instruments	Tertiary Education Quality and Standards Agency Act 2011