
Compliance Management Policy

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Purpose

The Compliance Management Policy provides staff at Australia Institute of Future Education (AIFE) with guidance on how to manage its legal and compliance obligations.

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

Scope

This Policy applies to all AIFE staff and members of AIFE's Governing Bodies.

Compliance Statement

AIFE operates in a highly regulated sector, both within and outside of Australia. Identifying and raising awareness of the regulations with which AIFE must comply is a way to establish an institution wide compliance culture and also to manage compliance issues, obligations and risks, should they arise.

Therefore, AIFE undertakes to:

- Comply with relevant legislative and regulatory framework, comprising of:
 - Tertiary Education Quality and Standards Agency Act 2011
 - Higher Education Standards Framework (Threshold Standards) 2021 (HESF)
 - Applicable State and Federal legislation and
 - Contractual obligations.
- Promote effective and accountable decision making through:
 - good governance, use of standards, implementing internal policies and frameworks
 - appropriate monitoring, reporting and training to enable management and Governing Body members to discharge their responsibilities.
- Ensure appropriate oversight and support from its Governing Bodies and the Chief Executive Officer.

Compliance Management Framework

The Framework set out in the table below provides a summary of how AIFE will commit to its compliance obligations, through implementing, improving on and monitoring its compliance obligations.

Stakeholder	Commitment	Implement	Improve	Monitor
Board of Directors	AIFE Strategic Plan aligned to Compliance Management Framework			

<i>Stakeholder</i>	<i>Commitment</i>	<i>Implement</i>	<i>Improve</i>	<i>Monitor</i>
Academic Board	<p>Promote effective compliance practices</p> <p>Ensure compliance obligations are identified and documented</p> <p>Identify, analyse and treat compliance risk within existing controls</p> <p>Allocate resources to support compliance management</p>			
	<p>Quality assurance and compliance as required by HESF</p> <p>Academic governance, learning and teaching, academic support, student support</p>			
CEO	<p>Ensure operational compliance (IT, recruitment, marketing, HR, safety and security)</p> <p>HESF, corporate governance standards</p>	<p>Arrange regular training on compliance and risk</p> <p>Encourage compliance culture</p> <p>Circulate internal policies and frameworks</p>	<p>Review and improve Compliance Management Framework</p>	

<i>Stakeholder</i>	<i>Commitment</i>	<i>Implement</i>	<i>Improve</i>	<i>Monitor</i>
		Establish controls to manage compliance obligations		
Independent Auditor		Undertakes annual compliance audits to manage compliance and instil a compliance culture		
All Staff			Identify compliance breaches (e.g. self assessments, audit reports, OH&S incidents) Address identified breaches through an action plan and developing strengthening controls	Ensure staff comply with AIFE’s policies and frameworks

Responsibilities

All staff:

- Have a duty to comply with this Compliance Management Framework, and to report in a timely manner potential compliance breaches, and
- Must adhere to AIFE’s compliance obligations and undertake regular training to maintain their awareness of these obligations.

The CEO:

- Responds to compliance issues raised
- Reviews and updates AIFE’s compliance obligation

- Assists with coordinating risk assessments, internal and external audits and compliance reviews
- Identifies and arranges compliance training, as required, and
- Oversees the development, implementation and continuous improvement of the Compliance Management Framework including keeping records of compliance issues and non-compliance incidents.

AIFE's Governing Bodies and senior management should promote a compliance culture and are accountable for non-compliances.

Definitions

For the purposes of this Policy, 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 Obligation	An action, restriction or prohibition mandated by legislation, regulation, contract and/or internal framework
Compliance Risk	The risk of legal or regulatory sanction, financial or reputational loss arising from a failure to abide by AIFE's compliance obligations
Governing Bodies	Consists of the Board of Directors, Academic Board, Course Development Committee and, the Learning and Teaching Committee, and any other committees established by the Board of Directors or the Academic Board

Version history

Version #	Changes	Approval Body	Approval Date
1.0	New policy	Board of Directors	28 March 2022

Additional Information

Policy Status	Approved
Policy Owner	CEO
Next Review Date	3 years from Approval Date
Related Internal Documents	Quality Assurance Policy and Procedure
Higher Education Standards Framework (Threshold Standards) 2022	Standards 6.1.3, 6.2.1k and 6.3.2d

Other legislative or regulatory instruments	Not applicable
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