



Compliance

Policy UP26/5

Approver	Senate
Sponsor	Deputy Vice-Chancellor (Operations)
Owner	Chief Risk Officer
Secretary	Corporate Secretary
Policy Type	Institutional
Policy Category	Corporate Governance

1 Purpose

- 1.1 The purpose of this Policy is to —
- (a) establish the University's principles for a risk-based, proportionate and continually-improving Compliance Management System (CMS) aligned with AS ISO 37301:2023 – Compliance Management Systems; and
 - (b) affirm the University's commitment to integrity, accountability and compliance with all applicable legislative and regulatory obligations.
- 1.2 This Policy is to be read in conjunction with the following:
- (a) Compliance procedures;
 - (b) Risk Policy;
 - (c) UWA Code of Conduct; and
 - (d) Policy Governance Framework.

2 Definitions

Term	Definition
Compliance	Fulfilment of the legislative and regulatory requirements the University must comply with, achieved through effective controls, processes and behaviours across the University.
Compliance Management System (CMS)	This policy, related Compliance Procedures, Risk Policy and supporting governance arrangements and processes that enable the University's risk-based management of its Compliance Obligations.
Compliance Obligations	Legislative and regulatory requirements the University must comply with.
Compliance Procedures	A documented set of step-by-step instructions that explains how the University implements the principles and requirements of the Compliance Policy.
Compliance Risk	The effect of uncertainty on the University's ability to meet its Compliance Obligations, expressed in terms of likelihood and consequence, consistent with the Risk Policy.
Context	The combination of internal and external factors that shape the University's operating environment, including its objectives, legal and regulatory environment, stakeholder expectations, and broader social, economic and technological conditions. Understanding context ensures that Compliance activities are appropriately tailored and proportionate to the University's specific circumstance.
Management and Operational Leaders	Individuals who have formal responsibility for leading, managing or supervising staff or University activities, including responsibility for operational decision-making, allocation

Term	Definition
	of work, and oversight of people, resources or functions within their area of responsibility
Non-compliance	Non-fulfilment of Compliance Obligations.
University	The University as defined in Part 1 section 2 of the University of Western Australia Act 1911 (WA)
University Officers	University Officer means any of the following – Senate Members and members of Committees of the Senate; Employees (full term, part-time, fixed term and casual); Clinical Academics; Contractors; Honorary, Adjunct, Clinical (excluding Clinical Academics) or Emeritus Appointments; Committee Members; or any individuals acting in the name of the University on a Financial Commitment.

3 Scope

- 3.1 This Policy applies to all University Officers as well as affiliates, volunteers, and other third parties when acting for, on behalf of, or under the control or direction of the University.
- 3.2 This Policy applies to all University activities conducted on or off campus, in Australia or overseas, including activities undertaken by or through entities controlled by the University.
- 3.3 Compliance with this Policy and any supporting Compliance Procedures and subordinate documentation issued under it is mandatory.

4 Principles

This Policy establishes the principles that underpin and guide the operation of the University's Compliance Management System.

4.1 Leadership and Culture

- (a) Tone from the top: the Senate, the Vice-Chancellor and the University Executive set and demonstrate the University's commitment to lawful and ethical conduct.
- (b) Resources: the University provides and maintains adequate resources, systems and support to implement, monitor and continually improve the CMS.
- (c) Accountability: the University assigns clear accountability for Compliance within its CMS to ensure Compliance Obligations are identified, managed and met, and to promote a positive Compliance and speak-up culture across the University.

4.2 Context, Stakeholders and Integration

- (a) The CMS considers the University's purpose, strategy, risk profile and operating context, including the needs and expectations of relevant stakeholders such as staff, students, partners and regulators, and the University's Compliance Obligations to ensure the CMS remains relevant, proportionate and fit for purpose.
- (b) Compliance is integrated with risk management, internal audit, legal, governance, integrity and operational management to ensure a consistent, coordinated and effective approach to managing Compliance Risk comprehensively.

4.3 Compliance Obligations, Risks and Controls

- (a) University Officers will identify, record, assess and manage its Compliance Obligations, associated Compliance Risks, and the controls that support Compliance, in a systematic and transparent manner in accordance with the Compliance Procedures.
- (b) Compliance activities and controls will be risk-based and aligned with the University's Risk Policy, with greater focus on Compliance Obligations presenting the highest risk exposure so that resources are directed to areas of greatest consequence and risk.
- (c) University Officers will ensure that Compliance processes and controls are documented,

implemented, maintained, and periodically reviewed for effectiveness and currency to ensure they remain fit for purpose.

4.4 Planning, Objectives and Proportionality

- (a) Compliance activities are planned and implemented in a manner that is proportionate to the University's Context, Compliance Obligations and potential impacts of Non-compliance.
- (b) The University sets, monitors and reviews Compliance objectives and performance indicators (e.g., training completion rates, close-out of audit actions, control effectiveness) to drive continual improvement.

4.5 Competence, Training and Awareness

- (a) University Officers will have access to training, information and support necessary to understand and fulfil their compliance responsibilities, delivered in ways that reflect the differing needs, roles and responsibilities across the University Community.
- (b) Where compliance learning is prescribed, University Officers will complete the required training in a timely manner to ensure they maintain the knowledge and capability necessary to meet their compliance obligations.

4.6 Operational and Third-Party Risk

- (a) Compliance processes are implemented and maintained through relevant Compliance Procedures and related operational documents.
- (b) The University identifies, assesses and manages third-party Compliance Risks that may affect the University's ability to meet its Compliance Obligations, including risks arising from contractors, vendors, agents, collaborators, placement providers, and partners.

4.7 Reporting, Raising Concerns and Breach Management

- (a) The University provides safe, accessible and transparent channels to report actual, potential or perceived Non-compliance or to raise concerns, including anonymous options where lawful.
- (b) Reporting mechanisms are designed to minimise barriers to reporting, recognising the diverse roles and circumstances that may affect an individual's willingness to raise concerns.
- (c) University Officers will report actual, potential or perceived Non-compliances and concerns as soon as reasonably possible through the University's designated reporting channels as prescribed in the relevant Compliance Procedures.
- (d) Designated roles responsible for receiving, assessing or addressing concerns will ensure that reported matters are handled promptly, fairly and consistently, in a trauma-informed manner, having regard to confidentiality, procedural fairness, and the safety and wellbeing of those involved.
- (e) Protections available under relevant whistleblowing and public interest disclosure frameworks apply in accordance with the University's procedures and applicable legislation including protections against victimisation, confidentiality of identity (where lawful), and safeguards for individuals who make disclosures in good faith.

4.8 Monitoring, Review and Continual Improvement

- (a) The University monitors, measures, analyses and evaluates Compliance performance, controls and processes to ensure the CMS remains effective.
- (b) Periodic internal reviews or audits assess the effectiveness of compliance processes and identify opportunities for improvement.
- (c) Assurance reporting on significant Compliance matters and systemic risks is provided to the University Executive, Audit and Risk Committee and Senate to support informed oversight and decision-making.

5 Roles and Responsibilities

The University assigns oversight, accountability and responsibility for Compliance as follows:

Position	Role	Detail
Senate and its Standing Committees	Oversight	Provide overarching oversight of the University's CMS and receive assurance on its effectiveness.

<i>(Audit and Risk Committee and the Academic Board via the Academic Quality and Standards Committee)</i>		
Vice-Chancellor	Accountable	As Chief Executive Officer, is accountable for Compliance across the University and ensures the leadership, resources and organisational culture necessary to support the CMS.
University Executive	Accountable	Provide leadership and oversight within their portfolios, ensuring Compliance Obligations and associated risks are appropriately identified and managed.
Management and Operational Leadership	Responsible	Responsible for Compliance within their areas of responsibility, including identifying, monitoring, reviewing and managing Compliance Obligations and Compliance Risks, and escalating issues in accordance with this Policy and relevant Compliance Procedures.
Chief Risk Officer and Compliance Unit	Responsible	Oversee and coordinate the CMS, ensuring alignment with the University's risk management, assurance and governance processes.
Individuals engaging in University activities	Responsible	Must comply with applicable Compliance Obligations relevant to their role or activities, raise Compliance concerns or suspected Noncompliance, and participate in required Compliance related training where applicable.

6 Breaches and Consequences

Breaches of this Policy or supporting Compliance Procedures, or other compliance requirements issued under this Policy may result in action under applicable University policies, enterprise agreements, contracts or legislation, including disciplinary or contractual action, where appropriate.

Legislative Context

AS ISO 37301:2023 – Compliance Management Systems

End