

LEGISLATIVE COMPLIANCE PROCEDURES

Category	Governance
Policy Owner	General Counsel
Last review	November 2024
Next review	November 2027
Approved by	Vice Chancellor
Effective date	November 2024

1. PURPOSE

To support and implement the Legislative Compliance Policy.

2. SCOPE

These procedures apply to all activities, educational and administrative of the University at governance, management and operational levels.

3. DEFINITIONS

4. ACTIONS

Key legislation is considered to be those pieces of legislation that relate to the business and undertakings of the University. These procedures establish and maintain processes for monitoring and reporting compliance with key legislation.

4.1 Register of Key Legislation

For the purposes of managing and reporting legislative compliance the Vice-Chancellor has delegated responsibilities to the Assistant Vice Chancellor Corporate and General Counsel and to various Managers.

The Assistant Vice Chancellor Corporate- General Counsel is responsible for managing the University's legislative compliance programme by:

- maintaining the Register of Key Legislation;
- liaising with the University's legal and risk advisers;
- recommend changes to the University's Register of Key Legislation, in accordance with changes to legislation, or to its interpretation by the Courts or enforcement authorities;
- co-ordinate the legislative compliance reporting systems;
- arrange that audits are performed to provide assurance on compliance.

4.2 Responsible Managers

The manager named on the Register of Key Legislation is responsible for ensuring that the University is compliant with legislation and that processes are in place for identifying and dealing with non – compliance including:

- liaising with the University's General Counsel on changes to legislation compliance requirements;
- advising on compliance issues;

- establishing and implementing systems, procedures, guidelines, training programmes, informative materials and take other action, reasonably expected to ensure legislative compliance;
- reporting immediately on any identified risk exposure;
- reporting immediately on any critical breach;
- certifying at least annually on compliance status; and
- maintaining all necessary records as are reasonably required.

4.3 Reporting

The following reports will be provided:

- Reports from the responsible manager on compliance with legislative requirements and reporting non – compliance occurrences;
- Annual notifications from the responsible manager;
- Annual report from General Counsel to be submitted to Council Finance and Audit Committee and University Executive on the University’s overall compliance with legislative requirements.

4.4 Register of Key Legislation

The Register of Key Legislation is maintained by the General Counsel. For reporting purposes, the relevant legislation is grouped according to the major functions of the University.

5. RESPONSIBILITIES

All employees are expected to comply with the Legislative Compliance Policy and these Procedures in carrying out their roles.

6. POLICY BASE

Legislative Compliance Policy

7. ASSOCIATED DOCUMENTS

Register of Key Legislation

8. FORMS / RECORD KEEPING

All managers are to keep records as required regarding risks and breaches of legislative compliance.

9. DOCUMENT MANAGEMENT AND CONTROL

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