



# Legislative Compliance

## Australian Education Union ACT Branch Policy

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|---------------|---------------|-------------|---------------|
| Policy Number | POL034        | Version     | 2.0           |
| Last Reviewed | 11 March 2020 | Next Review | 11 March 2023 |

### INTRODUCTION

The operations of Union are subject to a wide range of legal requirements, embodied in legislation, regulations, licences, codes, guidelines and similar binding instruments.

### PURPOSE

The purpose of this document is to identify the Union's governance structures, responsibilities and processes that have been established to achieve demonstrable compliance with its legislative obligations.

### POLICY

The Union is committed to the highest standards of integrity, fairness and ethical conduct, including full compliance with all relevant legal requirements, and requires that all its officers, employees, volunteers and contractors acting on its behalf meet those same standards of integrity, fairness and ethical behaviour, including compliance with any legal requirements.

The Union will promote a culture of compliance within the Union that emphasises personal accountability and ethical conduct, whereby behaviours that support compliance are encouraged and behaviours that compromise compliance are not tolerated.

### RESPONSIBILITIES

It is the responsibility of the Branch Executive to monitor legislative compliance performance by way of periodic management reports and assurances from the Branch Secretary.

It is the responsibility of the Branch Secretary to oversee the operations of the Union in accordance with legislative requirements and for promoting and supporting a culture of compliance. This includes preparing legislative compliance objectives and plans for review and consideration by Branch Executive.

It is the responsibility of the Branch Secretary to ensure that compliance responsibilities are clearly assigned, and that all officers and employees are aware of and understand their role in adhering to and managing compliance obligations.

### PROCEDURES

The Branch Secretary will:

- Establish and maintain a process for compliance monitoring and risk management planning.
- Report at least annually to the Branch Executive on the review and monitoring of the Union performance against legislative compliance objectives and plans.
- Review and report annually to the Branch Executive on the effectiveness of the management systems established to deliver legislative compliance.
- Provide formal assurance to the Branch Executive as to the state of compliance of the Union.



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- Where appropriate, delegate responsibility for compliance to an employee with responsibility for particular sections of the legislative compliance objectives and plans and oversee the performance of delegated staff in these matters.
- Ensure that employees are trained and have the necessary knowledge and understanding to perform their duties in compliance with the policy and all relevant requirements of the law.
- Ensure that significant compliance responsibilities and accountabilities are included in position descriptions and performance reviews.
- Investigate and report on any incident or occurrence thought or known to constitute a breach of any legal requirement.
- Oversee system enhancements to correct weaknesses that could result in a breach of such requirements.
- Analyse material breaches and identified compliance system weaknesses for systematic trends and ensure that any adverse trends are addressed.
- Promote a culture of effective legislative compliance across the Union.

#### RESOURCES

Operational activities related to this policy are to be delivered within budgeted office resources.