



Compliance Policy

Version 1.1

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1. Purpose

This policy outlines the position of the Mining and Automotive Skills Alliance (AUSMASA) regarding compliance with all legislation and regulatory obligations and the governance structures and allocation of responsibilities established by the Board to achieve regulatory compliance in all business activities and give effect to this policy.

2. Overview

The operations of AUSMASA are subject to a wide range of legal requirements that are embodied in legislation, regulations, licenses, codes, guidelines, and similar binding statutory instruments. Those instruments and laws address AUSMASA's duties and legal obligations in relation to regulated matters, and include the following:

- Equal opportunity, anti-discrimination and diversity in employment
- Workplace health and safety
- Taxation
- Privacy
- Modern slavery
- Anti-bribery and anti-corruption
- Environmental sustainability
- Data security.

3. Audience

This policy applies to AUSMASA's:

- Board
- Committees and sub-committees
- Chief Executive Officer (CEO)
- Employees
- Contractors and sub-contractors

4. Policy

4.1. Commitment

We are committed to the highest standards of integrity, fairness, and ethical conduct, including full compliance with all relevant legal requirements. AUSMASA requires all its Board members, officers (including its Chief Executive Officer), managers, employees, contractors, and sub-contractors acting on its behalf to meet those same standards of integrity, fairness, and ethical behaviour, including compliance with any legal requirement.

There is no circumstance under which it is acceptable for AUSMASA or any of its employees or contractors to knowingly and deliberately not comply with the law or to act unethically in the course of performing or advancing AUSMASA's business.

4.2. Responsibilities

The Board will:

- review and monitor the leadership and commitment given to legislative compliance through active promotion of this policy
- review AUSMASA's compliance objectives and improvement plans for legislative compliance
- monitor compliance performance by way of periodic management reports and assurances.

The CEO will:

- prepare AUSMASA's legislative compliance objectives (one of which must be the achievement of complete and consistent regulatory compliance) and develop any required improvement plans for review and consideration by the Board
- on an ongoing basis, monitor AUSMASA's compliance performance against its compliance objectives and any improvement plans
- report to the Board regularly on progress toward the accomplishment of the compliance objectives
- review and report annually to the Board on the effectiveness of AUSMASA's systems, procedures and any improvement plans to meet our compliance objectives
- analyse all reported non-compliances, identify root causes, analyse those causes to identify any systemic trends that indicate compliance system weaknesses and ensure that adverse trends are rectified
- promote a culture of effective legislative compliance across AUSMASA
- upon request, provide formal assurance to the Board as to the state of AUSMASA's regulatory compliance
- oversee the performance by Personnel of any tasks that may be delegated by the CEO (see the paragraph below), including ensuring that:
 - all Personnel are trained to ensure that they are aware of their duties in compliance with this policy and all relevant requirements of the law
 - those Personnel understand and adhere to the requirements of all Laws in the workplace
 - any significant compliance responsibilities and accountabilities are included in position descriptions and performance reviews
 - any incident or occurrence of a non-compliance is reported and investigated in accordance with this policy
 - systems and procedures are effectively established to give effect to the compliance objectives and any improvement plans
 - enhancements are made to the design or content of AUSMASA's systems and procedures to correct any weaknesses that have caused or failed to prevent, or that may cause or may fail to prevent, non-compliance with a law
- establish a Compliance Committee, comprised of any two or more members of the executive management or their direct reports, for the purpose of performing any responsibilities that may be delegated to the Compliance Committee by the CEO.

Where appropriate, and in accordance with AUSMASA's Delegations Policy, the CEO may delegate to the Compliance Committee responsibility for:

- maintaining records of, and monitoring, AUSMASA's compliance performance

- reviewing, analysing, or preparing any reports that must be provided to the Board
- overseeing the performance of delegated tasks by Personnel with delegated responsibility for the management and implementation of AUSMASA's objectives and any improvement plans
- the Compliance Committee may sub-delegate as appropriate the tasks specified in Section 4.2 above to non-management employees with responsibility for particular sections of AUSMASA's business and/or management employees, in accordance with AUSMASA's Delegations Policy.

All Personnel must:

- ensure that they are aware of any legal requirements that apply to their work activities and that they comply with those requirements
- report all incidents of non-compliance with a law to the Compliance Committee
- where appropriate, suggest to the Compliance Committee any reasonable steps of which they become aware, that AUSMASA could take to amend its systems and/or procedures to reduce the likelihood of non-compliance.

4.3. Processes

The Board must:

- at least once a year, feature as an agenda item the monitoring/consideration of AUSMASA's compliance performance, the revision of the existing compliance objectives and improvement plans and the approval of any required updates that are proposed by the CEO for Board approval
- provide notice to the CEO prior to including the above agenda item for the following month's Board meeting.

In each year, the CEO must coordinate the timing for delivery of outcomes for their responsibilities regarding reporting to the Board, setting and updating AUSMASA's compliance objectives and developing any required improvement plans, with the timing of the Board's agenda item for consideration of AUSMASA's compliance performance.

4.4. Enforcement

AUSMASA may take disciplinary action against any Personnel who breach this policy. Such action may include termination of the Personnel's employment or services agreement.

5. Definitions

A **LAW** may apply to AUSMASA either because it applies to the activities of AUSMASA's Personnel when acting on our behalf, or more generally to AUSMASA in its corporate capacity as a registered Australian not-for-profit organisation. AUSMASA's directors have a duty to ensure AUSMASA's regulatory compliance.

PERSONNEL means each employee, officer, contractor, subcontractor, supplier, and agent of AUSMASA or all of them as a group, as the context requires.

6. Document History and Contact Details

Version

Number	1
Version	1.1
Implementation date	28 June 2022
Review date(s)	30 March 2025
Next Review date	30 March 2026

Revision History

Revision date	Summary of amendments	Prepared by	Version
May 2023	Name and Branding update Audience amendment	Manager Organisational Development	1.1

Contact details

Owner	AUSMASA Board
Contact officer	Principal Advisor/Manager, Governance and Risk, admin@ausmasa.org.au