

INTRODUCTION TO THE COMPLIANCE MANAGEMENT PROGRAMME

For Senior Management (PVCs, Deans, HODs and Directors)

Outside Employment – *Are the academic staff in your department aware of the requirements of the Outside Employment Policy? Do they obtain approvals to undertake additional work?*

Fieldwork and Placements – *Are risk assessments undertaken? Do staff and students receive training in emergency and evacuation procedures in accordance with management plans? If required, are the appropriate licences and permits obtained?*



WHAT IS COMPLIANCE?

The University undertakes a wide range of activities such as research, teaching, field trips, construction, maintenance, catering, financial reporting and international student recruitment. Almost all of these activities are regulated in some way by either external legislation or internal policies.

A Compliance Management Programme is designed to identify these regulatory and policy requirements and to monitor these activities to ensure the University meets its obligations. Compliance is about “sticking to the rules” as noncompliance can result in significant financial and reputational damage to the University.

A Compliance Management Programme is also a key element of a good risk management framework and as a member of the senior management team, you play a pivotal role in supporting and promoting the programme.

We all have a role to play in the identification and monitoring of our compliance obligations

WHAT DO I NEED TO DO?

The responsibilities of senior management regarding compliance can be found in the Compliance Management Policy at [< web address >](#)
In summary, these responsibilities can be met by undertaking the following:

1. Support the implementation of the Compliance Management Programme

You can do this by nominating one or more staff from your department to assist with the identification and assessment of obligations relevant to your department.

Procurement – *Is the purchasing undertaken by your department in compliance the University's Procurement Policy? Is the expenditure authorised within delegations?*

Privacy - *Are routine checks of eVision access permissions undertaken to identify staff who no longer require access to students' personal information?*

Records - *Does your department have processes in place to ensure important records are retained in accordance with the Public Records Act?*

Travel - *Are staff booking travel and accommodation through University approved suppliers?*

Entertainment - *When staff entertain or provide hospitality are they aware of the need to comply with the Sensitive Expenditure Policy?*

Cybersecurity - *Do staff take precautions to ensure software and sensitive data are secure? Is research data regularly backed up?*

Contact Us

Risk, Assurance & Compliance
(03) 479 5970
risk.management@otago.ac.nz
www.otago.ac.nz/risk/index.html

Forward your nominations to the Office of Risk, Assurance and Compliance and arrangements will be made for introductory training.

2. Identify and communicate compliance obligations to staff.

A good way to identify and communicate compliance obligations is to collaborate with your staff and colleagues.

You can also encourage discussion regarding compliance related risks by placing compliance on the agenda of your department's management meetings on a regular basis.

3. Encourage staff to respond appropriately to potential or actual noncompliance

All staff are required to report actual or potential noncompliance whether it involves their actions or the actions of someone else. This is important when we consider the safety of people as well as breaches that may result in reputational or financial damage to the University.

Support and vigilance at the local level is the foundation of a positive compliance culture

4. Engage with regulators and external agencies

By engaging with the agencies who develop and monitor legislation we can reduce the risks of noncompliance and help minimise the impact of penalties should they be imposed by a regulator.

More importantly, this engagement provides an opportunity to promote the interests of the University and influence the development of emerging regulatory requirements that might impose unrealistic obligations on the University.

WHERE CAN I OBTAIN FURTHER ADVICE?

Training and advice can be obtained from the Office of Risk, Assurance and Compliance.

Compliance management guidance materials can also be accessed at www.otago.ac.nz/risk/resources/index.html