Massey University Policy Guide

COMPLIANCE POLICY

<table>
<thead>
<tr>
<th>Section</th>
<th>Office of the University Registrar</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact</td>
<td>Risk Management</td>
</tr>
<tr>
<td>Last Review</td>
<td>January 2014</td>
</tr>
<tr>
<td>Next Review</td>
<td>January 2016</td>
</tr>
<tr>
<td>Approval</td>
<td>C14/09 – 7 March 2014</td>
</tr>
<tr>
<td>Effective Date</td>
<td>1 March 2014</td>
</tr>
</tbody>
</table>

Purpose:
To ensure that Massey University meets its legal and business compliance risks and that it conducts its activities lawfully and responsibly.

Policy:
Massey University is committed to meeting its strategic intent as stated in the University Strategy, and in order to do so must ensure it meets its compliance obligations to staff, students and wider community stakeholders.

Massey University is a separate legal entity that has legal obligations in its own right. Equally the University faces liability for any breaches of those obligations, of which there are many in the modern context. Compliance with those obligations is therefore essential. Massey University is committed to the maintenance and continuous improvement of the compliance framework and processes, and the development of a compliance culture within the University.

The Council of Massey University has all powers, under provisions of the Education Act 1989, and Amendments, reasonably necessary to enable it to perform its function efficiently and effectively. The Council may elect to appoint committees and to delegate such powers. The Council of Massey University, through its Audit and Risk Committee, is responsible for approving the Compliance Policy, and overseeing the University's compliance with laws and regulations, reporting obligations and Council approved regulations and policies.

The Vice-Chancellor (Chief Executive) manages the academic and administrative affairs of the University, in accordance with the Education Act 1989 and Amendments, and the delegations of Council. In turn, the Vice-Chancellor may delegate through each level of the University to allow the University's affairs to be conducted. The Vice-Chancellor is responsible for recommending for approval the University's Compliance Policy and approving the associated Compliance Programme and Register of Compliance Obligations, and for ensuring that these are aligned with Massey University's strategic and operational goals and objectives and with relevant New Zealand legislation.

The Vice-Chancellor, and the Senior Leadership Team, must ensure that sufficient resources are committed to assure a reasonable opportunity that Massey University will meet its compliance obligations.

The Risk Manager, in conjunction with compliance specialists within the University, is responsible for coordinating the maintenance and promulgation of the Register of Compliance Obligations, for providing appropriate support and ensuring training for staff in compliance related matters; and for monitoring and reporting on compliance activities.

University policies and procedures and processes must reflect not only the legislative compliance requirements, but also compliance requirements where applicable in respect of mandatory or voluntary codes or sector standards.

© This Policy is the property of Massey University
Managers at all levels of the University must be made aware of their responsibility for the recognition and management of compliance risks within their area of influence and control and for reporting compliance.

Each staff member in the University is ultimately, in effect a delegate of the Council, through the office of the Vice-Chancellor. All delegated powers must be used and exercised appropriately. Each person, therefore must become aware of what the University should and should not do, and comply accordingly.

Massey University is committed to a compliance programme based upon the principles described in Australian/New Zealand Standard NZS/AS 3806:2006 Compliance Programmes, which are:

1. **Commitment**
   1.1 Commitment to effective compliance that permeates the whole organisation
   1.2 A Council approved Compliance Policy that is aligned to the University Strategy, goals and objectives.
   1.3 Appropriate resources to develop, implement, maintain and improve the compliance programme
   1.4 The objectives and strategy of the compliance programme which are approved by the Vice-Chancellor and Senior Leadership team
   1.5 Compliance obligations are identified and assessed

2. **Implementation**
   2.1 Responsibility for compliant outcomes is clearly articulated and assigned
   2.2 Training needs are identified and addressed to enable managers and staff to fulfil their compliance obligations
   2.3 Behaviours that create and support compliance are encouraged, and behaviours that compromise compliance are not tolerated.
   2.4 Controls are in place to manage identified compliance obligations and achieve desired behaviours.

3. **Monitoring and Measuring**
   3.1 Performance of the compliance programme is monitored, measured and reported
   3.2 The University will be able to demonstrate its compliance programme through documentation and practice

4. **Continual Improvement**
   4.1 The Compliance programme is regularly reviewed and improved

**Definitions:**

**Compliance:** Adhering to the requirements of laws, industry and organisational standards and codes, principles of good governance and accepted community and ethical standards.

**Compliance Culture:** The values, ethics and beliefs that exist throughout an organisation and interact with the organisation’s structures and control systems to produce behavioural norms that is conducive to compliance outcomes.

**Compliance Failure:** An act or omission whereby an organisation has not met its compliance obligations, processes or behavioural obligations.

**Compliance Programme:** A series of activities that when combined are intended to achieve compliance.

**Register of Compliance Obligations:** A schedule of compliance obligations that have been identified by Massey University and are maintained by the Risk Management Office.
Legal Compliance Programme: The process of annual attestation of compliance with relevant New Zealand legislation.

Audience:
All staff

Relevant legislation:
As detailed at www.legislation.govt.nz

Legal compliance:
Massey University, as a separate legal entity, is obliged to comply with all New Zealand legislation.

Related procedures / documents:
NZS/AS 3806:2006 Compliance Programmes
Compliance Framework
Register of Compliance Obligations and Responsibilities
Legal Compliance Procedure

Document Management Control:
Prepared by: Risk Manager
Authorised by: AVC Operations, International and University Registrar
Approved by: C14/09 – 7 March 2014
Date issued: 2 March 2012
Last review: January 2014
Next review: January 2016
Effective date: March 2014