



Toukley Neighbourhood Centre

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TNC is the heartbeat of a connected, supported, empowered, inclusive and thriving community. We partner with the broader community to share what we can and provide a hand up to those in need, so they can Wallamba-bayn (come back) and join us in delivering our vision.

POLICY - COMPLIANCE

1. Policy Information

Title:	Compliance
Effective Date:	08-Dec-2025
Policy Owner:	Chairperson, Board of Management
Applies To:	All staff and volunteers, contractors
Next Review Date:	31-Dec-2026

1.1. Definitions

This policy uses the terms defined in the [TNC Master Definitions Table](#), available on the Toukley Neighbourhood Centre website (www.tnc.org.au/policies).

Policy-specific definitions are listed below (if required).

Term	Explanation
Compliance Framework	The structured approach used by TNC to identify, document, monitor and report compliance obligations.
Compliance Obligation	A regulatory, legislative, contractual or internal requirement that TNC must meet and which is recorded in the Compliance Register.
Compliance Register	The organised record of TNC's compliance obligations, including due dates, evidence, review frequency and status.
Evidence	Documents or records demonstrating that an obligation has been met, stored in accordance with TNC's records management requirements.

1.2. Context

At Toukley Neighbourhood Centre (TNC), policies are developed in alignment with the [TNC Policy Framework](#) and support the delivery of safe, effective and accountable community services.

TNC policies are developed to:

- Assist TNC to meet its organisational objects and manage risk effectively
- Support staff and volunteers in performing their duties
- Demonstrate how TNC meets its governance, compliance and quality expectations
- Provide clarity, transparency and consistency across all areas of TNC operations.

All compliance obligations are documented and monitored through the Compliance Register.

TNC is bound by the [Australian Charities and Not-for-profits Commission Act 2012 \(Cth\)](#) and regulated by the [ACNC](#).

1.3. Related Documents

- Risk Management Framework
- Compliance Framework
- Incident Management Policy



- Records Management Procedure
- Privacy and Data Protection Policy
- Contract Management Procedure.

1.4. Change Control

Effective Date	Author	Approver	Comments
13-Feb-2023	Bronwyn Evans	BoM	Initial document
13-Jan-2025	Bronwyn Evans	BoM	Refined to incorporate monthly monitoring of compliance, via the Contracts and Compliance Register
08-Dec-2025	Bronwyn Evans	BoM	<ul style="list-style-type: none">• Updated to new policy template.• Updated to align with the new Compliance Framework, including monthly monitoring via the Compliance Register and clarified roles and responsibilities.

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2. Policy Overview

2.1. Purpose

This policy establishes TNC's approach to identifying, documenting and meeting all regulatory, legislative, contractual and internal compliance obligations. It outlines the structures, responsibilities and processes that ensure compliance obligations are met consistently and that TNC maintains a high standard of ethical, accountable and transparent practice.

2.2. Overview

TNC is committed to meeting all applicable compliance obligations and to fostering a culture where compliance is understood, embedded and proactively monitored. TNC's Compliance Framework provides the structure through which compliance obligations are identified, recorded, assessed and reviewed.

All obligations are documented in the Compliance Register, which enables accurate monitoring, timely action and effective reporting. Compliance performance is routinely monitored by the EO, reviewed by the Oversighting Committee and included in monthly reporting to the BoM to ensure oversight, transparency and continual improvement.

There is no circumstance under which it is acceptable for TNC or any individual acting on its behalf to knowingly fail to comply with a legal, regulatory, contractual or internal requirement.

2.3. Scope

This policy applies to all TNC staff, volunteers, contractors, students and any other individuals engaged in TNC activities.

It applies to all TNC programs, services, premises, digital systems, equipment and activities unless otherwise stated within this policy.

Policy-specific scope considerations for compliance management include:

- all regulatory, legislative and contractual obligations relevant to TNC obligations arising from funding agreements, service delivery requirements and internal policies evidence, audit and reporting requirements supporting compliance.

3. Policy Principles

Policies always contain a set of principles that provide information relating to the rationale for the document. Staff and volunteers must consider and comply with these guiding principles when performing their duties.

Principle 1: Compliance obligations are clearly defined, understood and documented.

Obligations are recorded in the Compliance Register to ensure transparency and accountability.

Principle 2: Compliance is embedded in everyday practice.

Staff and volunteers integrate compliance requirements into routine activities, supported by clear guidance and procedures.

Principle 3: Compliance obligations are monitored regularly.

Obligations are reviewed monthly to confirm accuracy, evidence requirements and upcoming due dates.

Principle 4: Breaches and risks are identified and addressed promptly.

Suspected or actual breaches are reported immediately, investigated, escalated and acted upon.

Principle 5: Evidence is maintained to demonstrate compliance.

Documentation supporting compliance must be complete, accessible and retained in accordance with records management requirements.

Principle 6: The Oversighting Committee maintains governance oversight.

Compliance performance, risks, trends and breaches are reviewed monthly and reported to the BoM to support informed decision-making.

4. Roles and Responsibilities

4.1. Overview

Clear roles and responsibilities ensure that TNC policies are implemented effectively, monitored appropriately and aligned with governance expectations.

Accountability for policy application is shared across the organisation, with oversight provided by the designated committee identified in the Policy Information section.

The roles below outline who is responsible for complying with, implementing, and monitoring this policy. Specific responsibilities are clarified further through the RACI table.

Effective compliance management relies on accurate identification, documentation and monitoring of obligations across TNC. The EO is responsible for maintaining the Compliance Register and ensuring evidence is captured, obligations are reviewed and overdue items are addressed.

The Oversighting Committee reviews compliance performance monthly, monitors risks, and ensures material matters are escalated to the BoM. Program and Volunteer Coordinators support compliance activities within their areas, including maintaining required evidence and reporting issues promptly.

Staff and volunteers must follow procedures, meet compliance requirements relevant to their roles and report concerns or breaches as soon as they become aware of them.

4.2. RACI

This RACI identifies who is **Responsible (R)**, **Accountable (A)**, **Consulted (C)** and **Informed (I)** for the activities required under this policy.

Activity	BoM	Oversighting Committee	EO	Program / Volunteer Coordinators	Staff and Volunteers
Generic Policy Activities					
Understand and comply with the policy	I	I	C	R	R
Implement policy requirements in daily operations	I	I	A	R	R
Maintain procedures and records required by the policy	I	I	A	R	R
Monitor compliance and identify issues	I	A	R	R	R
Report incidents, risks or non-compliance	I	C	A	R	R
Review policy effectiveness and recommend improvements	I	A	A	C	I
Approve policy revisions	A	C	R	I	I
Policy Specific Activities					
Maintain the Compliance Register	I	C	R	C	I
Identify new or changed compliance obligations	I	C	R	R	R
Review three obligations per month for accuracy	I	A	R	C	I
Monitor evidence requirements and ensure records are complete	I	C	R	R	R

Activity	BoM	Oversighting Committee	EO	Program / Volunteer Coordinators	Staff and Volunteers
Escalate concerns, overdue items or breaches	I	A	R	C	I
Report compliance performance monthly	I	A	R	I	I
Ensure all program- or role-specific compliance requirements are met	I	C	A	R	R

5. Policy Guidelines

The policy guidelines outline the rules, expectations and minimum requirements that must be followed under this policy. These guidelines apply to all individuals covered in the Scope section and support consistent, safe and compliant delivery of TNC operations. Policy-specific guidelines are listed below.

- Compliance obligations must be identified, documented and maintained within the Compliance Register.
- Obligations must be reviewed monthly to confirm accuracy, due dates, evidence requirements and responsible roles.
- Evidence of compliance must be complete, accurate and stored in accordance with TNC's records management requirements.
- Staff and volunteers must follow procedures that support compliance within their roles.
- Program and Volunteer Coordinators must monitor program-specific obligations, including funding and service delivery requirements.
- Suspected or actual compliance breaches must be reported immediately.
- Material breaches or emerging compliance risks must be escalated to the EO and the Oversighting Committee.
- The Oversighting Committee must review compliance performance monthly and escalate concerns to the BoM as required.
- Compliance obligations must be monitored proactively to prevent overdue items and reduce the risk of non-compliance.
- Compliance requirements arising from funding agreements must be met and monitored in accordance with their conditions.

6. Processes

The processes describe how the requirements of this policy are applied in practice. They outline the key steps, actions and records needed to implement the policy effectively. Detailed procedures or work instructions, where required, are maintained separately and referenced from this section.

6.1. Compliance Management Processes

Identifying Obligations

- Identify regulatory, legislative, contractual and internal obligations relevant to TNC.
- Assess changes to services, programs or agreements to determine whether new obligations arise.
- Document new or updated obligations in the Compliance Register.

Maintaining the Compliance Register

- Update the Compliance Register with obligation details, responsible roles, frequency, due dates and evidence requirements.
- Ensure each obligation has a clear review cycle and responsible person assigned.
- Record the date obligations were last reviewed for accuracy.

Monthly Compliance Review

- Review all obligations monthly to confirm status, upcoming due dates and completeness of evidence. Identify overdue items and ensure follow-up occurs promptly.
- Report monthly performance, risks and issues to the Oversighting Committee.

Escalation and Response

- Escalate overdue obligations, suspected breaches or emerging risks to the EO.
- Material issues must be escalated by the EO to the Oversighting Committee and included in monthly reporting.
- Implement corrective actions where systemic issues or repeated breaches occur.

Evidence Management

- Collect and store evidence demonstrating that obligations have been met.
- Ensure evidence is complete, current and readily accessible for internal or external review.
- Update the Compliance Register once evidence has been stored.

Program-Specific and Funding Compliance

- Monitor obligations arising from funding agreements, service specifications and program standards.
- Ensure evidence supporting funding compliance is maintained and reviewed regularly.
- Report risks, gaps or potential non-compliance promptly.

6.2. Recordkeeping Requirements

Records created under this policy must be stored in accordance with TNC's records management requirements. This includes ensuring records are complete, accurate, accessible to authorised personnel, and retained for the required period.

Records may include:

- Compliance Register entries
- Evidence supporting compliance with obligations
- Monthly compliance review notes
- Escalation records and corrective actions
- Funding compliance evidence and reports.