



Compliance Management Policy

1. Purpose

Compliance is an outcome of an organisation meeting its obligations and is made sustainable by embedding it in the culture of the organisation and in the behaviour and attitude of people working for it ([Australian Standard AS ISO 37301:2023](#)).

Effective compliance and regulatory programs, systems and processes are essential components of good governance and contribute to the achievement of broad public sector and individual agency goals and outcomes.

Compliance obligations can take a number of forms, including:

- acts of Parliament and subsidiary legislation
- Premier's Circulars
- Public Sector Wages Policy
- Commissioner's Instructions
- Public Sector Commissioner's Circulars
- Treasurer's Instructions
- other sector wide policies
- other sector wide guidelines
- Policy Frameworks, Policies and minimum standards
- Directives
- Standards

Compliance with this policy is mandatory to enhance governance and ensure that the WA health system compliance obligations are identified and met.

This policy is a mandatory requirement for Health Service Providers under the *System Governance, Risk and Assurance Policy Framework* pursuant to section 26(2)(l) of the *Health Services Act 2016*.

2. Applicability

This policy is applicable to all Health Service Providers and their Boards.

3. Policy Requirements

The WA health system is committed to the management and monitoring of its compliance obligations.

This includes actively identifying and communicating compliance obligations, providing appropriate support and resources and managing the risks of non-compliance.

Suitable compliance management systems, frameworks and practices are to be established and are to be consistent with:

- [Australian Standard AS ISO 37301:2023 Compliance Management Systems – Guidelines](#)
- [MP 0006/16 Risk Management Policy](#)
- [WA Health Integrated Corporate & Clinical Risk Analysis Tables and Evaluation Criteria 2009 \(as amended 2011\)](#) and as may be amended from time to time.

The System Manager (Department of Health Chief Executive Officer)

- The System Manager being responsible for the overall management of the WA health system is to:
 - manage and monitor compliance obligations associated with system manager services and functions
 - specify system compliance assurance and reporting requirements
 - ensure the WA health system meets its compliance obligations
 - monitor compliance with this policy.

Health Service Providers (HSPs)

- **Boards**
Boards are ultimately responsible for HSP compliance. Boards are to:
 - oversee the HSP compliance management system and framework and ensure it is sound
 - provide compliance assurance to the System Manager.
- **Chief Executives (CEs)**
HSP CEs are to:
 - design and implement the HSP compliance management system and framework and ensure that the HSP operates within it
 - ensure compliance with this policy
 - develop local compliance management policies consistent with this policy, plans and guidelines and ensure that sufficient resource is applied to the management and monitoring of compliance.
- **All Executive and Management Positions**
 - identify and manage compliance obligations within their areas of responsibility and authority.
- **All Employees**
 - all employees are required to work within this policy and participate in compliance management processes as may be required.

4. Compliance Monitoring

Failure to comply with this policy may lead to disciplinary action.

The Department CEO is to review the operation of the Policy every two years beginning in July 2018 and may direct audits to assess the efficiency and effectiveness of the arrangements, as well as to assess compliance with the requirements outlined in the Policy.

The Auditor General may undertake an assurance role in monitoring compliance with the requirements outlined in the Policy.

5. Related Documents

The following documents are mandatory pursuant to this policy:

- [Risk Assessment Tables for the WA Health System](#)

6. Supporting Information

The following information is not mandatory but informs and/or supports the implementation of this policy:

- [Australian Standard AS ISO 31000:2018 Risk Management – Principles and Guidelines](#)
- [Australian Standard AS ISO 37301:2023 – Compliance Management Systems – Guidelines](#)

7. Definitions

The following definition(s) are relevant to this policy.

Term	Definition
Compliance	Meeting all the organisation's compliance obligations.
Compliance risk	Effect of uncertainty on compliance objectives. Compliance risk can be characterised by the likelihood of occurrence and the consequences of non-compliance with the organisation's compliance obligations.
Compliance management policy	The statement of the overall intentions and direction of an organisation related to compliance management.
Compliance management framework	The set of components that provide the foundations and organisational arrangements for designing, implementing, monitoring, reviewing and continually improving compliance management throughout the organisation.
Compliance risk management plan	The scheme within the risk management framework specifying the approach, the management components and the resources to be supplied to the management of compliance risk.
Risk	The effect of uncertainty on objectives.
WA health system	The WA health system is comprised of: (i) the Department; (ii) Health Service Providers (North Metropolitan Health Service, South Metropolitan Health Service, Child and Adolescent Health Service, WA Country Health Service, East Metropolitan Health Service, PathWest Laboratory Medicine WA, Quadriplegic Centre and Health Support Services); and (iii) contracted health entities, to the extent they provide health services to the State.

8. Policy Contact

Enquiries relating to this policy may be directed to:

Title: Director, System Policy, Planning and Risk

Directorate: Strategy, Policy and Planning

Email: SPPR@health.wa.gov.au

9. Document Control

Version	Published date	Review date	Amendment(s)
MP 0007/17 v.1.0	1 July 2016	July 2018	Original version
MP 0007/17 v.2.0	10 March 2026	July 2018	Amendments as listed below.
<ul style="list-style-type: none">• Insertion of hyperlinks to documents throughout the policy.• Purpose section: refined to reflect removal of obsolete Public Sector Commission Reviewing Compliance Obligations – A Good Practice Approach document and associated reference to recommended obligations.• Applicability section: refined to reflect Policy Frameworks governance.• Related documents: removal of reference to Risk Compliance and Audit Policy Framework and removal of WA Health Integrated Corporate and Clinical Risk Analysis Tables and Evaluation Criteria 2009. Inclusion of Risk Assessment Tables for the WA Health System document.• Supporting Information: inclusion of Australian Standard AS ISO 31000:2018 Risk Management – Principles and Guidelines and Australian Standard AS ISO 37301:2023 – Compliance Management Systems – Guidelines• Definition section: Insertion of ‘WA health system’ definition.• Policy contact updated to reflect policy ownership.			

Note: Mandatory policies that exceed the scheduled review date will continue to remain in effect.

10. Approval

Approval by	Assistant Director General, Strategy and Governance
Approval date	1 July 2016

This document can be made available in alternative formats on request for a person with a disability.

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Ensure you have the latest version from the [Policy Frameworks](#) website.
Compliance with this document is mandatory.

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