

# Sporting Shooters' Association of Australia ACT Inc.

## Finance Compliance Framework

### Compliance Management

#### Purpose

To overview the processes and expectations SSAA ACT Inc. (the Association) has for Association members to adhere to the requirements of law, Association policies and codes, principles of good governance and accepted community and ethical standards.

#### Policy

The Association works to:

- Provide guidance to enable the Association and its members to meet obligations with respect to relevant laws, standards, codes, internal policies and procedures, principles of good governance, obligations arising at law, and accepted community and ethical standards.
- Ensure that the Association and members have the commitment to effectively identify and manage its compliance risks, obligations, and conduct its operations in accordance with legal and internal policy requirements.
- Foster a relevant compliance culture.
- Provide a framework to monitor relevant compliance and implement corrective action when required.
- Protect the Association's reputation.

The Association includes Council members, volunteers, and members (SSAA Personnel).

### Procedures

#### 1. Expectations

1.1. The Association expects all SSAA Personnel, and participants, and organisations providing services to the Association, to always:

- 1.1.1. comply with the law, act honestly and diligently, and demonstrate ethical behaviour;
- 1.1.2. maintain all operations, activities and actions in a manner that complies with all relevant laws, regulations, codes, standards or guidelines; and
- 1.1.3. comply with relevant policies and procedures.

1.2. The Association:

- 1.2.1. Will provide SSAA Personnel with the necessary information and assistance to promote compliance; and
- 1.2.2. Make SSAA Personnel aware of compliance obligations relevant to their activities, for and on behalf of the Association, and with the consequences of failure to comply with those requirements and standards.

- 1.3. Any SSAA Personnel who knowingly and/or recklessly breach compliance obligations may be subject to applicable legislative penalties and/or disciplinary action.
- 1.4. Any SSAA Personnel who wilfully breach the law, and are prosecuted, will not receive support from the Association.
- 1.5. The Association's Council is open, and transparent, and ethical in its relationships, processes, the way it does business, and in its expectations of itself and SSAA Personnel.
- 1.6. Outsourcing of any operation does not relieve the Association of its legal responsibilities or compliance obligation. If there is any outsourcing or contracting out of the Association's activities then the Association will ensure, through due diligence, that the Association's standards and commitments to compliance are adhered to.

## **2. Approach to Compliance**

- 2.1. The Association views compliance with both external and internal requirements and standards as fundamental to effective and accountable governance and management of the Association.
- 2.2. The Association will ensure that SSAA Personnel are treated fairly and consistently.

## **3. Monitoring and Implementing Changes**

- 3.1. Key legislative, regulatory and other requirements will be identified and monitored through:
  - 3.1.1. Notices from ACT and Commonwealth Departments and internet sites.
  - 3.1.2. Membership of relevant peak, government and industry bodies.
  - 3.1.3. Subscription to relevant information services.
- 3.2. When information advising of legislative changes is received, the Council will consider the implications for the Association and/or take advice when appropriate.
- 3.3. When policy must be changed considering legislative, regulatory or other requirements, such changes must be advised to members and approved consistent with the requirement of the Constitution and relevant By-laws.
- 3.4. Procedures to give effect to policy may be approved by Council.
- 3.5. Changes in policy and procedures may be advised through, although not limited to, the web site, formal notice to members and/or representatives on Council.

## **4. Reporting, Management and Resolution of Compliance Breaches**

- 4.1. All incidents involving death or serious injury must be advised immediately to Council members.
- 4.2. All incidents involving significant fraud, or a breach of legal requirements, must be advised to Council members as soon as facts have been established.
- 4.3. All other reportable incidents should be advised to the Council by the next meeting.
- 4.4. All SSAA Personnel are encouraged to report actual or potential compliance breaches, issues, and complaints to a Council representative.

## **5. Responsibilities**

5.1. The Council:

5.1.1. is responsible for establishing the framework, policies and principles for the Association consistent with legal requirements and community expectations;

5.1.2. is responsible for monitoring, control and accountability systems, and fostering a culture of compliance;

5.1.3. or relevant delegate, is responsible for gathering facts, identifying the real or perceived impacts upon the Association, considering, and addressing/resolving the breaches of compliance.

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