



Legal and Regulatory Compliance – Products and Services

A Compliance framework, as part of an overarching Risk Management framework, is part of the foundation of sound corporate governance systems and processes.

The philosophy of adopting a compliant culture is not based on ‘one size fits all’, Compliance Essentials acknowledges the unique aspects of each organisation with which we engage. Legal and regulatory Compliance can be determined by generic compliance (i.e. the legislative instruments that apply to all organisations) and industry specific Compliance, often based on regulations formulated in addition to general statutory obligations. It is important, therefore, that each organisation develops a unique compliance framework that is cognisant of the organisation’s activities and culture.

Compliance affects all processes and systems. Staff training and development are an essential part of the compliance process, a process that should operate from the Board to the shop floor.

There is an impact on an organisation that is found guilty of a breach of the responsibilities and obligations as determined by statute and/or regulation in terms of use of resources, potential pecuniary penalties and potential loss of reputation, in addition to any civil actions that may arise where loss or injury is sustained by a client. Being aware of relevant areas of compliance throughout the organisation is at the forefront of a compliant culture which also brings efficiencies and value-added.

Compliance Expertise includes:

Areas of Speciality:

- **Business Operations**
Advertising content review, Best Practice in Business Process, Contractual matters, Customer Complaints management
- **Financial Compliance and Financial Management**
- **Governance**
- **Consumer Law**
- **Human Resources Legislation**
- **Occupational Health & Safety Legislation**
- **Privacy Legislation**
- **Training and Knowledge**
Policies and procedures, process improvement, staff training, workshop facilitation

Products and services:

- **Awareness Communication and Training Program**
- **Compliance Evaluation and Gap Analysis**
- **Compliance Frameworks**
- **Compliance Management**
- **Operational Review**
- **Organisational Policies and Procedures**
- **Risk Review and Assessment**
- **Training Workshops**

Gillian Kinder has met client needs, providing value added support and service to large and small clients in a variety of industries for over twenty years, with experienced gained in both commercial and not-for-profit organisations. Gillian has a Masters degree in Commercial Law, is a Fellow of Chartered Secretaries Australia (FCSA, FCIS) and an Associate of the Australasian Compliance Institute (AACI).

Compliance Essentials’ services are tailored to the operations and needs of each client organisation, engaging at Board level through to operations. Working to an organisation’s aims and objectives the process is built around structure, status and product environments.