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Episode 21 Compliance Basics - Compliance Register Template

A Compliance Register is a master list of everything your association must comply with — laws, regulations, licences, permits and internal governance requirements. Build yours around two questions: what you are (your legal structure) and what you do (your activities). The Owner column is the most important — an obligation with no named Owner is an obligation waiting to be missed.

CLASS	LEGISLATION / REQUIREMENT	OBLIGATION	COMPLIANCE ACTIVITY	EVIDENCE	FREQ	OWNER
WHAT WE ARE — AS AN INCORPORATED ASSOCIATION						
Association	Associations Incorporation Act (check your state)	Hold Annual General Meeting	[Compliance activity]	[Evidence]	Annual	[Owner]
Association	Associations Incorporation Act (check your state)	Appoint and register Public Officer	[Compliance activity]	[Evidence]	On change	[Owner]
Association	Associations Incorporation Act (check your state)	Lodge Annual Return	[Compliance activity]	[Evidence]	Annual	[Owner]
Association	Associations Incorporation Act (check your state)	Financial audit or review (if required)	[Compliance activity]	[Evidence]	Annual	[Owner]
[Class]	[Add another association item]	[Obligation]	[Compliance activity]	[Evidence]	[Freq]	[Owner]
WHAT WE ARE — AS A CHARITY (IF APPLICABLE)						
Charity	ACNC	Lodge Annual Information Statement	[Compliance activity]	[Evidence]	Annual	[Owner]
[Class]	[Add another charity item]	[Obligation]	[Compliance activity]	[Evidence]	[Freq]	[Owner]
WHAT WE ARE — AS AN EMPLOYER OR VOLUNTEER-USING ORGANISATION						
Employer	WHS legislation (check your state)	Maintain safe systems of work	[Compliance activity]	[Evidence]	Ongoing	[Owner]
Employer	Working with Children Check legislation (check your state)	Verify and renew Working with Children Checks	[Compliance activity]	[Evidence]	Per expiry	[Owner]
Employer	Privacy legislation	Maintain and review Privacy Policy	[Compliance activity]	[Evidence]	Annual	[Owner]
[Class]	[Add another employer item]	[Obligation]	[Compliance activity]	[Evidence]	[Freq]	[Owner]
WHAT WE DO — FOR OUR SPECIFIC ACTIVITIES						
Activity	Insurance	Confirm public liability cover matches current activities	[Compliance activity]	[Evidence]	Annual	[Owner]
Activity	[Permit / licence type]	[Obligation]	[Compliance activity]	[Evidence]	[Freq]	[Owner]
[Class]	[Add another activity item]	[Obligation]	[Compliance activity]	[Evidence]	[Freq]	[Owner]