

Compliance register – Example

A **compliance register** is used by providers to record their legal obligations, the source of those obligations (including relevant regulators), and to monitor compliance with those obligations. Providers should prepare and design their own compliance register to capture their compliance obligations. **Note:** the below is an example of the type of information that can be included in a compliance register only. It is the responsibility of each provider to develop and maintain governance tools that are appropriate for their own unique circumstances.

Compliance register

Listing the regulator can help with understanding where to seek further information or guidance to comply with requirements and obligations, as well as keeping up to date with changes.

Note: The relevant regulator may change depending on provider location.

The owner of the compliance requirement should be stated to ensure clear accountability for meeting the obligation and delivering any actions to ensure compliance.

Area	Source	Requirement	Regulator	Owner(s)	Last Review Date	Actions to be implemented	Due Date	Status
Work Health & Safety	Work Health and Safety Act 2011 (Cth)	Review and update Emergency Management Plan and ensure workplace hazards and risk control measures are in place.	WorkSafe Victoria	General / Residential Manager WHS Officer	01/08/2025	Test building safety features (sprinkler system, fire hydrants, fire blankets, emergency lighting, exit signs, smoke alarms, evacuation plans)	1/2/2026	Completed
Human Resources	Aged Care Act 2024 (Cth)	Execute background checks to ensure consumer safety.	Fair Work Aged Care Quality and Safety Commission	Head of HR	11/04/2025	6-monthly background checks for all staff (NDIS, worker screening clearance, police certificate)	End of Oct 2026	Not started
Data Privacy	Privacy Act 1988 (Cth) Information Privacy Act 2000 (Vic) Information Management Principles	Protect the privacy of personal information, including health information of consumers, and ensure the confidentiality of records through appropriate storage and security.	The Office of the Australian Information Commissioner (OAIC) Aged Care Quality and Safety Commission	Information Manager	05/05/2025	Annual review of the Privacy and information management policies. Quarterly file audit.	End of May 2026	In progress

For full transparency and to monitor the level of compliance, it is good practice to track any actions that need to be implemented to ensure compliance, when they are due and current status.

Last review date will help to understand how long it has been since the obligation in the register has been checked.