

# Compliance Management



Good corporate governance principles dictate that an organisation should establish a sound system of risk management, internal control and behavioural audit.

Integrated into internal operating procedures, Cavendish provides online systematic, comprehensive internal reporting, behavioural monitoring and assessment, to measure accountability and behaviour against performance standards, consistent with the requirements of the Australian Standard on Compliance Programs, AS3806.

Our online service contributes to the maintenance of a safer and more productive work place, reducing the likelihood of a legal breach. In the event of a breach the electronic records of compliance provide the basis for a due diligence defence.

At the same time reducing costs of an organisation's legal and policy function by identifying individuals and behaviours at risk, resulting in effective focused responses in the form of remedial training and management alerts.

**Legal Compliance:** These products ensure that employees have an adequate level of knowledge to enable them to meet their legal compliance obligations through reference material, tutorials, and tests.

**Policy Compliance:** These products identify whether employees have appropriate knowledge and behaviour to their work role and are following required practices and procedures, through the use of Knowledge Tests, Behavioural Questionnaires, and Employee Surveys.

**Audit Products:** This customised system is used where information critical to the participants work role needs to be managed and/or monitored to reduce risk and the likelihood of a breach of the law. Products in this area assess the knowledge and behaviour of employees on specific company policies, procedures, regulatory requirements, and legal obligations.

**Risk Management:** This capability provides employees with knowledge of risk management from a basic to a comprehensive level through reference material, tutorials, and tests.

For more information:  
Brisbane + 61 7 3325 5128  
Auckland + 64 21 916 202