Compliance Requirement	Body	Frequency	Due Date	Exception	Penalty	Outcomes (report to Nov Board Meeting)
OCBA						
Changes to the Constitution (Form 6 & 7)	Office of Consumer & Business Affairs	As required		Within 1 month of making an alteration to the rule	Yes $30.00 within 1 month late $61.50 within 1 month but within 3 months late $130 more then 3 months late	NA
Audited Financial Statements & Reports (Form 9 Periodic Return, Statement by Committee, Committee Report)	Office of Consumer & Business Affairs	Annual		Within 6 months after the end of the associations final year (financial year)	Yes $30.00 within 1 month late $61.50 within 1 month but within 3 months late $130 more then 3 months late	Submitted 28/11/2011
Notify change in the identity or address of the Public Officer (Form 10)	Office of Consumer & Business Affairs			Within 1 month	Yes $30.00 within 1 month late $61.50 within 1 month but within 3 months late $130 more then 3 months late	NA
Notify Company Registered Address & Change of Name				Within 28 days of decision or relocation	Yes	NA

Change to Office Holders				Within 28 days of changes of any details to Directors & Company Secretary, or changes to home addresses of Directors & Company Secretary	Yes	NA
Appointment and resignation of auditor by general membership				At all times, unless exemption granted		Appointed at AGM - Submitted with OCBA Form 9 28/11/2012
Annual General Meeting & Annual Report to Members, including Audited Financial Statements		Annual		At least once each calendar year & within 5 months of the end of the financial year	Yes ($1,000 or three months imprisonment or both)	Distributed at AGM - Submitted with OCBA Form 9 28/11/2011
Taxation						
Business Activity Statement (BAS)	Australian Taxation Office	Monthly Quarterly	Group Tax – 21st of each month GST – 28th of each quarter	Group Tax – 21st of each month GST – 28th of each quarter	Interest Payments if late	Submitted as per schedule Submitted as per schedule
Payment Summaries	Australian Taxation Office	Annual	14-Aug		Yes	Submitted as per schedule
Payroll Summary (to Staff)	Australian Taxation Office	Annual	14-Jul		Yes	Submitted as per schedule

Fringe Benefit Tax Return	Australian Taxation Office	Annual	21-May		Yes	Submitted as per schedule
Legislative - Various						
Employee Time Sheets	Department of Employment Workplace Relations & Small Business & Workcover			At all times	Possibly	Fortnightly timesheets are collected at each pay period and filed in the Corporate Office.
Estimate of Rateable Remuneration	Workcover	Annual	28-Apr		Interest	Completed July 2011
Injury Register	Workcover			At all times	Yes	CQI/IM Register maintained for all Hazards and Incidents.
Notification of change to place of activity on register	Workcover			Within 14 days of relocation		N/A
Reconciliation of Salary & Wages	Workcover	Annual	31-Jul		Yes	Completed July 2011
Workers' compensation	Workcover & Department of Health & Ageing (Funding Agreement)		1-Jul	At all times	Yes	Paid Monthly via direct credit.
Superannuation – Employer contribution (9%)	Superannuation Guarantee Fund	Monthly	28th of the Month	All employees & Contractors	Yes	Paid Monthly via direct credit or cheque to employees nominated fund.
Long Service Leave	Long Service Leave Act			Depending on length of service	Yes	Payment made to Employee with acceptance of redundancy 29/6/2011
Right of Entry for Trade Union OHS; Recklessly Endangering Persons & Corporate Officers, employees and agents to take reasonable care	Occupational Health & Safety Act 2004			At all times	Yes	Comply as/when required
Internal						

Policies and Procedures	Internal			At all times	No	Service Delivery manual implemented encompassing Programs Manual and expanded to include GP Consultations, Case Management and Aboriginal Health. Manual documents reviewed in accordance with scheduled reviews.
Employment Policies	Internal			At all times	No	Endorsed by CEO/Chair when updated or created.
Delegation of Authority	Internal			At all times	No	Updated 27/9/2011
Contractual					F:\Compliance\Register\Current\Compliance Register..xlsx	**All following compliance requirements met as per Compliance Register**
6-Month Report & Financial Template	Department of Health & Ageing	Annual	15-Mar		Withhold quarterly payment	Submited 10/3/2011
Agreement Plan	Department of Health & Ageing	Annual	31 March prior to funding period		Withhold quarterly payment	
Annual Plan & Financial Template	Department of Health & Ageing	Annual	31-Jul		Withhold quarterly payment	Submitted 14/07/2011
Rollover of Funds Request	Department of Health & Ageing – Core, MAHS, WSRGP, ACGPPI, GPII	Annual	30-Sep			Submitted 30/9/2011
Final Financial Year Budget	Department of Health & Ageing	Annual	30-Sep		Withhold quarterly payment	Submitted 30/9/2011

Annual Report and Audited Financial Statements	Department of Health & Ageing	Annual	30-Sep		Withhold quarterly Payment	Submitted 30/09/2011
ATAPS Funding Agreement						
Financial Statements – unaudited						Submitted as part of 6 month repoorts
audited	Department of Health & Ageing – ATAPS	Bi-Annual	1 Oct, 15 Feb		Withhold Quarterly Payment	submitted 21/09/2011
6-Month Report & Financial Template						Submitted 24/3/11 & 19/9/11 as per extesions (due to late arrival of templates)
Final Report		Once Off		30-Sep-09		due when contract finishes
Annual Plan & Financial Template		Bi-Annual	1 Oct, 15 Feb			Submitted 4/08/2011
Rollover of Funds Request						Submitted 19/9/11
Management Plan		Once Off		1-Jun-09		NA
		Annual	31-Mar			
		Annual	31-Jul			
		Once Off		15-Jan-07		
Asset Register	Department of Health & Ageing (Funding Agreement)	Annual	30-Sep			Submitted 30/9/2011
	Department of Health & Ageing – ATAPS	Annual	30-Sep			
Letter of Authority (clause 7.2)	Department of Health & Ageing (Funding Agreement)	Annual	30-Sep			
Submit 12-Month Report to PHCRIS	Department of Health & Ageing (Funding Agreement)	Annual		Within 21days of DoHA approval of 12-Month Report		NA all submitted via PHCRIS
CPD Needs Assessment	RACGP	Tri-annual				Completed November 2011

PHCRIS Annual Survey of Divisions	Department of Health & Ageing (Funding Agreement)	Annual	30-Sep			Completed with 12 month report and submitted 30/9/2011
Public Liability Insurance (Not less than $10m) Certificate of Currency	Department of Health & Ageing (Funding Agreement)	Annual	15-Dec	At all times		$20,000,000
Professional Indemnity Not less than $10million	Department of Health & Ageing (Funding Agreement)	Annual	15-Dec	At all times Renewal November		$20,000,000 any one claim Policy covers Professional & Vicarious liability
Vicarious Liability (Not less than $1m if funding medical practitioners for clinical work or medical advice) Certificate of Currency	Department of Health & Ageing (Funding Agreement)	Annual	15-Dec	At all times Renewal December		As above
Review adequacy of all Insurance requirements		Annual				Currently reviewing Insurance renewal documents. Professional Risk Indemnity increased to $20m any one claim,in August 2010, as per DoHA Funding agreement
Workers Compensation Certificate of Currency (in accordance with relevant State or Territory legislations)	Department of Health & Ageing (Funding Agreement)	Annual	30-Sep			Submitted 30/9/2011
Non-DoHA funding agreements Annual Plans	National Prescribing Service The Pharmacy Guild Rural Doctors Workforce Agency SA Immunisation Coordination Unit Riverland Regional Health Service (APHCAP) Australian Divisions of General Practice SA Divisions of General Practice (SHARE)	Annual	30-Sep NA NA NA NA NA NA			Submitted 11/11/11 as per arrangement with NPS

Non-DoHA funding agreements ActivityReports	National Prescribing Service (6-Mth,12-Mth)	Bi-Annual	15 Feb, 30 Sept			Submitted 29/3/11 & 26/6/2011
	The Pharmacy Guild (Quarterly Reports)	Quarterly	NA	End of each Qtr		
	Rural Doctors Workforce Agency (Annual Activity)	Annual	Due 10th of each Month			Submitted each month of agreement
	SA Immunisation Coordination Unit (Activity Report)		NA			
	Riverland Regional Health Service (APHCAP)	Annual	NA			
	Australian Divisions of General Practice		NA			
	SA Divisions of General Practice (SHARE)	Annual	NA			
		Once Off	NA	Progress Report 30 Sept 06 & 31 March 07 Final Report 15-Jul-07		
Non-DoHA funding agreements Financial Reports (6 & 12-Mth)						
	National Prescribing Service	Bi-Annual	15 Feb, 30 Sept			Submitted 29/3/11 & 26/6/2011
	The Pharmacy Guild	Quarterly	NA	End of each Qtr		
	Rural Doctors Workforce Agency		NA			
	SA Immunisation Coordination Unit		NA			
	Riverland Regional Health Service (APHCAP)	Bi-Annual	NA			
	Australian Divisions of General Practice		NA			
	SA Divisions of General Practice (SHARE)		NA			

Non-DoHA funding agreements						Submitted all 30/9/2011
Audited Financial Reports	National Prescribing Service	Annual	30-Sep			
	The Pharmacy Guild	Annual	NA			
	Rural Doctors Workforce Agency		NA			
	SA Immunisation Coordination Unit (& Rollover Request)	Annual	NA			
	Riverland Regional Health Service (APHCAP)					
	Australian Divisions of General Practice	Annual	NA			
	SA Divisions of General Practice (SHARE)		NA			
	The University of Melbourne (headspace)	Once Off		30th Sept 06 & 31 Aug 07		