



UNIVERSITY COMPLIANCE DIRECTORY ASSIGNMENT FACTSHEET

(Steps 1-3 of the Workflow)

WHAT IS THE UNIVERSITY COMPLIANCE DIRECTORY (DIRECTORY)?

The Directory lists NSW and Commonwealth laws to which Western Sydney University ("University") and its controlled entities must comply.

 Each law on the Directory is assigned to the relevant operating unit/s who are responsible and accountable for the compliance of the obligations within the legislation.

WHO GETS ASSIGNED LAWS ON THE DIRECTORY?

The Compliance Program Unit (CPU) notifies the operating unit's head (usually Director-level and above/Deputy Dean) of the law, and how it is relevant to the University and/or controlled entities. The CPU will ask the head to nominate a staff member with subject matter expertise as it pertains to the assigned law and the unit/s' actions on compliance with that law who will be the main point of contact. This includes actions on enabling compliance throughout the University and its controlled entities on the law.

 The assigned operating unit head is called the "Compliance Representative" (CR). The nominated staff member responsible for complying with legislative obligations is nominated by the CR as the "Compliance Contact" (CC).

CAN I REFUSE AN ASSIGNMENT OF A LAW ON THE DIRECTORY?

It is not an option to opt out of legislative compliance that impacts the University and its controlled entities. However, you may refuse an assignment of a law on the Directory in the following circumstances:

- i) you are not the operating area who has responsibility and accountability for compliance (or enabling compliance throughout the University and its controlled entities) with the law. You may have suggestions as to who it may be.
- ii) the law is not relevant to the University or its controlled entities, or it has been repealed, and you are the correct operating unit that has the authority to state this.

 Some laws are *shared* with other operating units, and some laws apply to different units in separate ways.

WHAT DO I DO ONCE I ACCEPT AN ASSIGNMENT OF A LAW ON THE DIRECTORY?

1. Record particular information about the law and the unit's compliance actions. See *Self-Assessment Factsheet* for more information.
2. Continuously review the law to keep the information current.
3. Action on alerts sent to you by the CPU regarding changes to the law. See *Legislative Alerts Factsheet* for more information. This includes updating documents and key controls as a result of any changes.
4. It is **imperative** to report on the Compliance Incident Reporting register of any incidences of non-compliance with the law. See *Compliance Incident Reporting Factsheet* for more information.
5. Attest annually to the above. See *Annual Attestation Factsheet* for more information.

 Information that must be included are key controls to mitigate the risk of non-compliance with the law, self-assessment of the residual risk of non-compliance once controls are deployed, key obligations, and relevant policies, procedures, and/or training. See *Self-Assessment Factsheet* for more information.



WHAT HAPPENS IF I LEAVE THE ROLE/THE UNIVERSITY?

The CPU is notified of any role changes within and departures from the University and its controlled entities, and will update the assignment. It is best practice, however, to notify the CPU as soon as practicable so no delays are experienced which may impact the University and its controlled entities' compliance obligations.

 Notifying the CPU as soon as practicable allows the CPU to reach out to the new incumbent to ensure they are trained and understand the requirements of the Compliance Management Program.

IS THERE TRAINING?

Yes. Training on the Compliance Management Program, of which the Compliance Directory forms part, is available as **MyCareer Online modules** that can be undertaken at any time.

Summary training is offered on the [Compliance Management Program Yammer community](#), or e-updates.

CPU offers live training (via video conference or in-person) on the Program, which may be requested by individuals or invited by the CPU.

 General information about the Compliance Management Program is also mentioned in the Manager Training, and Staff Induction training by the Talent, Learning, and Development unit.

OTHER FACTSHEETS

- Self-Assessment Factsheet
- Legislative Alerts Factsheet
- Compliance Incident Reporting Factsheet
- Annual Attestation Factsheet