



COMPLIANCE DIRECTORY AND LEGISLATIVE ALERTS FACTSHEET

(Step 4 of the Workflow)

WHAT IS A LEGISLATIVE ALERT?

Legislative alerts are customised email alerts sent to your Western Sydney University email account. It contains information on Parliamentary activity that are directly linked to full text legislation, Bills, and Explanatory Memorandum.

Designated Compliance Representatives and Compliance Contacts who are assigned laws on the University and controlled entities' Compliance Directory are automatically set up for alerts pertaining to their assigned laws. The Compliance Program Unit ("CPU") will send usernames and passwords to access the alerts for an assigned law once it is accepted.



Other University employees can request to receive alerts on particular laws.

WHAT DO I DO WHEN I RECEIVE AN ALERT?

Any changes to or affecting your assigned law is summarised in the body of the email. There is more detailed information to access, which requires you to login the alert database using the username and password sent by the CPU when you accepted the assignment of the law.



For instructions on how to login and access the detailed information on the database, refer to the *Legislative Alerts Instructions* document accompanying this Factsheet.

WHAT DO I DO WHEN AN ALERT CONTAINS CHANGES THAT AFFECT MY ASSIGNED LAW?

1. **Inform** a Senior Executive if appropriate.
2. **Consult** with immediate team and affected stakeholders including control functions such as the CPU, Office of General Counsel, Audit and Risk Assessment etc if necessary.
3. Update and/or create **internal documents** such as policies, procedures, Intranet pages, or training.
4. If appropriate, **communicate** to the rest of the University or controlled entities of the change and the updates made, as well as any actions they must undertake to ensure compliance.
5. Update / create the **obligation** in the Compliance Directory ("Directory"), and its compliant status.
6. Update / create **internal controls** pertaining to the change if necessary.
7. Reassess the **residual risk rating** of the law on the Directory.



For more information on Steps 5-7, refer to the *Self-Assessment Factsheet*.

CAN I CHANGE THE AMOUNT / FREQUENCY OF THE ALERTS BEING SENT TO ME?

As the default, Compliance Representatives are emailed a summary on the 1st day of every month *in the event* that any of their assigned laws have been amended. Compliance Contacts are emailed on the day that any of their assigned laws are repealed/amended/subordinate legislation is made.

Contacts can request to have a consolidated alert of all changes once a week or monthly instead of daily, however it is recommended for Contacts to receive alerts either daily or weekly, as an important change may be missed while waiting for the 1st day of the next month. There is also an option to create a custom report on all changes at a particular point in time – refer to the *How to create a custom report* document accompanying this Factsheet.

The number of alerts, no matter the frequency, is based on the number of your assigned laws and whether they are  amended by Parliament as whole (i.e. not by individual sections) – the CPU cannot control this.

CAN I SUSPEND THE ALERTS FOR A PERIOD OF TIME?

The CPU cannot suspend or stop the alerts to your email as it is a key feature of the Compliance Management Program (“Program”) that demonstrates “completeness”. If you are going on leave, you may request the CPU to alter the frequency of the email alerts during the leave period (monthly instead of daily for example).

 Being on leave does not absolve you from your compliance obligations.

CAN I OPT OUT OF RECEIVING THE ALERTS?

No. The alerts are subscribed to you based on the laws assigned to and accepted by your area. These alerts are embedded into the Program, and are an important component. The Program regularly undergoes external and internal audits. If the laws are not appropriately assigned, contact the CPU.

 The alerts assure that Compliance Representatives and Compliance Contacts are receiving *at least one* avenue of information that notifies of any changes that affect their assigned laws. You may sign up to multiple feeds, alerts, and notifications from other sources – there is no maximum number of sources to which you need to subscribe, but it is **expected** to subscribe to at least one, which is the alert service CPU subscribes you.

WHAT HAPPENS IF I LEAVE THE ROLE/THE UNIVERSITY?

The CPU is notified of any role changes within and departures from the University, and will update the assignment as well as the alert subscription. It is best practice, however, to notify the CPU as soon as practicable if you are leaving and to whom the alerts should be sent, if known, so no delays are experienced which may impact compliance obligations.

IS THERE TRAINING?

Yes. There is specific training on the legislative alerts conducted by the vendor/provider, LawOne of TimeBase. This usually occurs twice-yearly, ~February and ~July, via video conference. CPU notifies the compliance network on Yammer, and extends an invitation to join the video conference. Summary training is offered on the [Compliance Management Program Yammer community](#), or e-updates.

OTHER FACTSHEETS

- Compliance Directory & Assignment Factsheet
- Self-Assessment Factsheet
- Compliance Incident Reporting Factsheet
- Annual Attestation Factsheet