

# CONTINUOUS REVIEW & COMPLIANCE INCIDENT REPORTING FACTSHEET

(Step 6 of the Workflow)

## WHAT IS CONTINUOUS REVIEW?

Compliance Contacts are **expected** to continuously review and update their assigned laws (key obligations and compliance status, internal controls, residual risk rating) when changes occur to the:

- assigned laws (usually contained within the email alerts – refer to the *Legislative Alerts Factsheet*);
- internal operations of the operating area; and
- organisational strategy and/or operations.

Compliance Contacts are **expected** to proactively self-report on any actual or potential breaches of their assigned, and any other, laws. This is known as Compliance Incident reporting.

## WHAT IS A COMPLIANCE INCIDENT?

Compliance incidents are potential or actual occurrences that do not fulfil the University or its controlled entities' compliance requirements.

 Incidents to report are non-compliance with legislative obligations, but also includes non-compliance with policy or procedure, as these incidents cause behaviours that do not conform to the compliance culture.

## HOW TO REPORT COMPLIANCE INCIDENTS?

Report all incidences on the [Compliance Incident Reporting Register](#).

 Reports can be submitted by University or its controlled entities' staff other than designated Compliance Representatives and Compliance Contacts, or students, who have the option to submit reports anonymously.

## WHY SHOULD I SUBMIT A COMPLIANCE INCIDENT REPORT?

Compliance incident reports should be submitted for a variety of reasons, including:

- ensuring a risk-based investigation and remediation of the incident is employed;
- preventing, minimising, and discovering similar incidents in other areas;
- disclosing the incident and steps taken for remediation for the purposes of management and Board Committee reporting; and
- demonstrating a genuine effort to report on and rectify an incident in a timely manner which may mitigate / reduce any future penalties that may be imposed.

## WHAT HAPPENS WHEN I SUBMIT A COMPLIANCE INCIDENT REPORT?

All *referred* compliance incident reports (i.e. incidents *not* pertaining to the area of the individual reporting) are sent to the Compliance Program Unit ("CPU"). The CPU will ask additional information before referring to the operating area to whom the incident pertains in order to ascertain:

- Whether the incident is an isolated, deliberate, or systemic breach. This will inform the type of corrective actions to implement.
- Whether to refer the matter to, or work in consultation with, another managing department with specialised knowledge i.e. the Privacy Office, Work Health and Safety.
- The significance of the breach.

All *self-reported* compliance incidents are for the operating area to address and manage to resolution, which include:

- Any breach prevention plans and/or action for potential incidents.
- Root cause analysis of actual incidents, which will inform the type of corrective action to implement.
- Which corrective action/s were decided, and to follow up on the progress of the incident's remediation.
- Whether the incident should be escalated to Senior Executive Management and/or reported to the Audit and Risk Committee. All significant breaches are reported.

 Root cause analysis includes finding out how the incident happened, why an incident happened, what triggered it, and ultimately ensuring it does not recur. It examines the controls in place, the behaviours and relationships of those involved, and what should have happened versus what did happen. Refer to the *Root Cause Analysis Guideline* accompanying this Factsheet.

### IS THERE TRAINING?

Yes. Training on the Compliance Management Program, of which the Compliance Incident Reporting 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

- Compliance Directory & Assignment Factsheet
- Legislative Alerts Factsheet
- Self-Assessment Factsheet
- Annual Attestation Factsheet