

Chief of Staff Office Fact Sheet

Supporting ethical and equitable outcomes

Enterprise Risk Update #2

Risk Focus for this Month

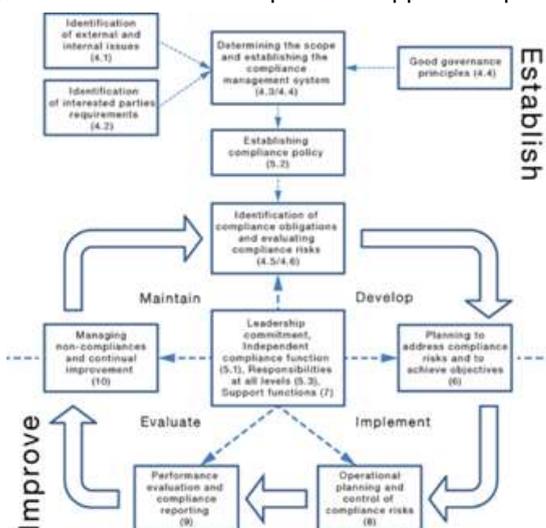
Since the first issue of the Enterprise Risk Fact Sheet in July 2017 (communications@JCU), a variety of risk activities have been undertaken. However, the main focus of this fact sheet is on **compliance management** in terms of the University requirements and processes.

Compliance Management

The JCU [Compliance Policy](#) is the high level document outlining roles and responsibilities for compliance management across the University. It also refers to the compliance framework which describes the University's approach to meeting intent of the policy. The [compliance framework](#) is built around three pillars as described below:

- 1) **Inform** - ensuring staff are aware of their obligations and the legislative changes that may impact their business units/activities
- 2) **Comply** - Annual Compliance Declaration Statement signed by Deputy Vice Chancellors
- 3) **Assure** - internal and/or external audit and review

A fully embedded compliance framework demonstrates that strong and visible linkages exist between each of the pillars, and the pillars are robust. The compliance framework, in its current form was introduced in 2015. The JCU compliance framework closely aligns with **AS/ISO19600:2015 Compliance Management Systems (below)**. This new standard emphasises the organisational elements required to support compliance.



Inform pillar

The inform pillar is about the level of awareness of compliance obligations and impacts of legislative change. Responsible Officers have been designated across the University and include Directors/Deans in the services divisions, and both Directors of Operations in the academies (Risk Champions). Work is still underway to fine tune this network.

Non-compliances or potential non-compliance must be reported to the Responsible Officer.

The [legislation register](#) on the intranet is a listing of applicable legislation and corresponding Responsible Officer(s). To support awareness of JCU compliance obligations, JCU subscribes to the SAI Global legislative Alerts service. Email notifications are sent to the Responsible Officers who must communicate legislative updates to relevant people within their Division/College. The impact of legislative changes on University procedures and processes must be assessed and revised accordingly.

Comply pillar

The Annual Compliance Declaration (ACD) involves an attestation made by the Deputy Vice Chancellor of the respective Divisions. It reflects the DVC's commitment to, and awareness of compliance within their Division. The signed statement is based on a coordinated Divisional response to a questionnaire outlining details of financial, legal, WHS and HR related activities.

Responses to the ACD questionnaire are reviewed and if needed, compliance action plans are developed and monitored in conjunction with the Chief of Staff and Risk and Compliance Officer. The University is undertaking its second ACD process under the current compliance framework. Completion is expected by mid-October 2017.

Assure pillar

The third pillar involves the internal audit function. In 2017 an audit on the JCU compliance framework will be undertaken through a co-sourcing arrangement with PwC. The scope of this audit will extend to activities across the University that underpin the compliance framework.