Appendix 2 – Internal Non-Compliance Report Template

Internal Non-Compliance Report

Organisational Unit Information:	
1. Name of person reporting the breach or potential breach:	
2. Position title of person reporting breach/potential:	
3. Work unit impacted by the breach or potential breach: *(If all Division, select Division name from list)*	Choose an item.
4. Responsible Officer Name / Position Title:	

Details of Non-Compliance:	
5. When did the non-compliance occur *(if known)*:	Click here to enter a date.
6. When did you first become aware of the non-compliance or potential for non-compliance:	Click here to enter a date.
7. Compliance Area:	Choose an item.
8. To which Legislation does the non-compliance relate:	Section/ Reference:
9. Brief description of non-compliance:	

Risk Assessment:

If non-compliance creates a risk for JCU, identify these below:

Use the risk matrix below to calculate the risk rating based on consequence and likelihood:

Consequence	Likelihood				
	Rare (A)	Unlikely (B)	Possible (C)	Likely (D)	Almost Certain (E)
5 Catastrophic	15	19	22	24	25
4 Major	10	14	18	21	23
3 Moderate	6	9	13	17	20
2 Minor	3	5	8	12	16
1 Insignificant	1	2	4	7	11

10. Actual/Potential Consequence:	**11. Likelihood:**
Choose an item.	Choose an item.

12. Risk Rating of Non Compliance:	Choose an item.

If Risk Rating is **Medium** or **High**, and mitigation strategies are required until a Treatment plan or Compliance Action Plan (if required) is finalised, outline them briefly below (refer Compliance Framework Sec. 4.2) and enter them on Riskware.

13. Corrective/Preventive Action(s)	By Who	By When
		Click here to enter a date.
		Click here to enter a date.
		Click here to enter a date.

14. Notification Requirements:		
Responsible Officer / Risk Champion	Choose an item.	Date: Click here to enter a date.
Chief of Staff	Choose an item.	Date: Click here to enter a date.
Deputy Vice Chancellor (High risk)	Choose an item.	Date: Click here to enter a date.