WESTERN SYDNEY
UNIVERSITY
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NON-COMPLIANCE INCIDENT REPORTING

1 Incident

Non-compliance incident may or will occur (potential incident), or has occurred (actual incident).

Staff member reports on Incident Reporting Register*.

2 Report

3 Assess**

Compliance Contacts (of the affected operating area to which the incident pertains) verifies where applicable and assesses the incident.

Preventative plans or corrective actions following a root cause analysis are implemented.

4 Action

5 Closure

Incident is closed once reasons, or evidence of Plans or Actions are uploaded to Register.

CPU validates all evidence of closed incidents.

6 Review

7 Escalate

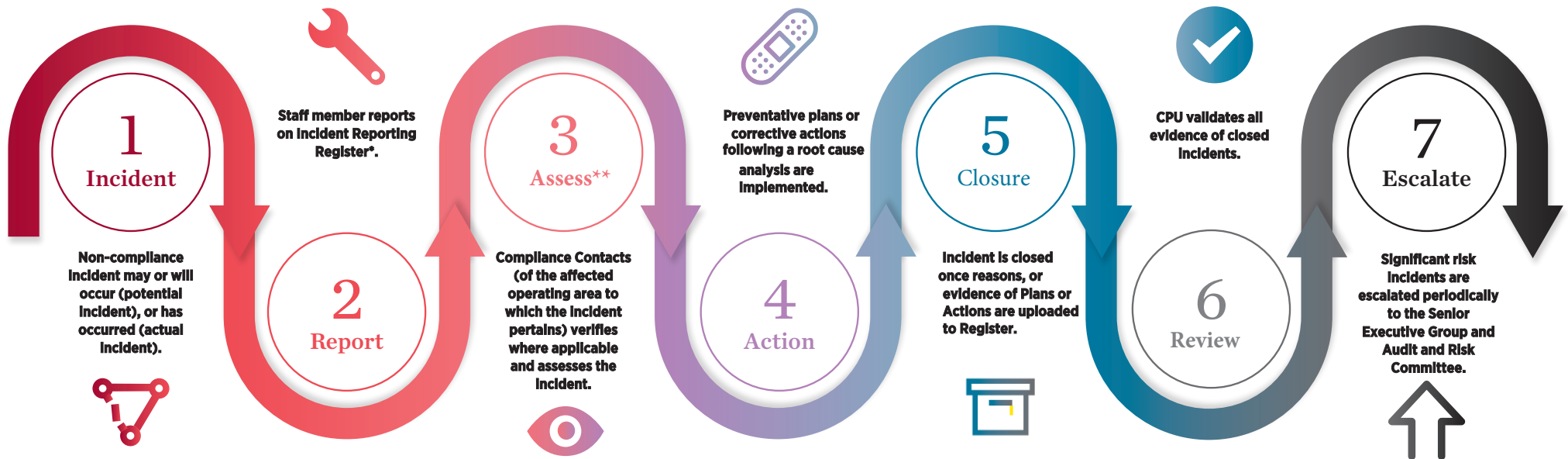Significant risk incidents are escalated periodically to the Senior Executive Group and Audit and Risk Committee.

*Can self-report, and report anonymously (anonymous reports are first received by the Compliance Program Unit (CPU) for initial investigation to substantiate the report).
** If a referred incident is verified as unsubstantiated/without merit, incident may be closed with reasons as to why per Step 5 in the workflow.