

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:																																											
<table border="1" style="margin: auto; border-collapse: collapse; text-align: center;"> <thead> <tr> <th rowspan="2" style="padding: 5px;">Consequence</th> <th colspan="5" style="padding: 5px;">Likelihood</th> </tr> <tr> <th style="padding: 5px;">Rare (A)</th> <th style="padding: 5px;">Unlikely (B)</th> <th style="padding: 5px;">Possible (C)</th> <th style="padding: 5px;">Likely (D)</th> <th style="padding: 5px;">Almost Certain (E)</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">5 Catastrophic</td> <td style="padding: 5px;">15</td> <td style="padding: 5px;">19</td> <td style="padding: 5px;">22</td> <td style="padding: 5px;">24</td> <td style="padding: 5px;">25</td> </tr> <tr> <td style="padding: 5px;">4 Major</td> <td style="padding: 5px;">10</td> <td style="padding: 5px;">14</td> <td style="padding: 5px;">18</td> <td style="padding: 5px;">21</td> <td style="padding: 5px;">23</td> </tr> <tr> <td style="padding: 5px;">3 Moderate</td> <td style="padding: 5px;">6</td> <td style="padding: 5px;">9</td> <td style="padding: 5px;">13</td> <td style="padding: 5px;">17</td> <td style="padding: 5px;">20</td> </tr> <tr> <td style="padding: 5px;">2 Minor</td> <td style="padding: 5px;">3</td> <td style="padding: 5px;">5</td> <td style="padding: 5px;">8</td> <td style="padding: 5px;">12</td> <td style="padding: 5px;">16</td> </tr> <tr> <td style="padding: 5px;">1 Insignificant</td> <td style="padding: 5px;">1</td> <td style="padding: 5px;">2</td> <td style="padding: 5px;">4</td> <td style="padding: 5px;">7</td> <td style="padding: 5px;">11</td> </tr> </tbody> </table>	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		
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10. Actual/Potential Consequence: Choose an item.	11. Likelihood: 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.																																									
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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.																																									