

## POSITION DESCRIPTION

### SECTION A: Position Context

|                                |                                             |
|--------------------------------|---------------------------------------------|
| <b>Position Title</b>          | Assistant Manager, Legal, Risk & Compliance |
| <b>Position Grade</b>          | E3 – Assistant Manager                      |
| <b>Category</b>                | Executive                                   |
| <b>Campus / Unit / Faculty</b> | Sarawak Campus – Legal, Risk & Compliance   |
| <b>Term of Appointment</b>     | Fixed-term appointment                      |
| <b>Effective Date</b>          | November 2025                               |

### Position Purpose

This position is an administrative role at Swinburne University of Technology, Sarawak Campus. The position reports to the Manager, Legal, Risk & Compliance and supports the University's governance, legal compliance, and risk management functions.

The position is responsible for assisting the planning, implementation, monitoring and continual enhancement of legal, compliance, and enterprise risk management (ERM) frameworks, ensuring alignment with Malaysian statutory requirements, internal governance standards, and Swinburne University of Technology's enterprise-wide frameworks.

The key focus areas include:

- Reassess the current scope of enterprise risk management (ERM) and business continuity planning (BCP) to ensure relevance and effectiveness.
- Maintain risk registers, support enterprise risk processes.
- Develop and test business continuity plans.
- Align local risk management and business continuity frameworks with Swinburne Melbourne's enterprise-wide frameworks for consistency, reporting, and resilience planning.

This position also supports policy governance, statutory compliance, documentation management, and contributes to broader governance assurance processes, including risk reporting and compliance monitoring. This position will work closely with other staff members on campus and Swinburne Melbourne counterparts to ensure consistent standards, effective risk mitigation, and compliance across the institution.

### Participation on Committees

The position may be required to participate in relevant committees as and when needed for the efficient performance of duties and as directed by the Manager, Legal, Risk & Compliance; Director, Administration; or Pro Vice-Chancellor and Chief Executive Officer (Sarawak) – PVC & CEO (Sarawak); or any other authorised personnel.

### Supervision Reporting Relationships

|                                             |                                                                                                |
|---------------------------------------------|------------------------------------------------------------------------------------------------|
| <u>This</u> position's supervisor / manager | Manager, Legal, Risk & Compliance; or any other person as assigned by an authorised personnel. |
| Other positions reporting to this position  | Executive(s), Officer(s).                                                                      |

### Location

This position is located at the Swinburne University of Technology Sarawak Campus.

## SECTION B: Key Responsibility Areas

The Key Responsibility Areas (KRAs) are the major outputs for which the position is responsible and are not a comprehensive statement of the position activities.

| Key Responsibility Areas |                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|--------------------------|----------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.                       | <b>ENTERPRISE RISK MANAGEMENT (ERM) &amp; BUSINESS CONTINUITY PLANNING (BCP)</b> | <ul style="list-style-type: none"> <li>Reassess and continuously enhance the University's Enterprise Risk Management (ERM) and Business Continuity Planning (BCP) frameworks to ensure relevance, alignment, and resilience.</li> <li>Maintain the institutional risk register, monitor mitigation plans, and ensure ownership of key risks is assigned and reviewed regularly.</li> <li>Facilitate risk assessments, workshops, and periodic reviews in alignment with Swinburne Melbourne's enterprise-wide framework.</li> <li>Coordinate the testing, review, and improvement of business continuity plans to ensure operational resilience during disruptive events.</li> <li>Prepare reports, analyses, and recommendations for management, audit, and governance committees.</li> <li>Support training and awareness initiatives to build a proactive risk and compliance culture across the University.</li> <li>Assist in embedding Swinburne Sarawak's risk appetite and tolerance levels into operational practices.</li> <li>Coordinate follow-up of internal audit, compliance, and risk assurance actions as required.</li> <li>Support monitoring and reporting of institutional risk appetite, tolerance thresholds, and early warning indicators to ensure alignment with Swinburne's enterprise-wide expectations.</li> <li>Assist in coordinating periodic risk maturity assessments to evaluate the effectiveness and maturity of the University's ERM practices.</li> <li>Contribute to assurance mapping activities across functions to strengthen visibility of control effectiveness and governance assurance.</li> </ul> |
| 2.                       | <b>LEGAL &amp; COMPLIANCE</b>                                                    | <ul style="list-style-type: none"> <li>Coordinate legal reviews of agreements, contracts, and critical documents to ensure compliance, accuracy, and risk mitigation.</li> <li>Coordinate to maintain and update the Policy &amp; Regulations Directory to ensure alignment with current laws, policies, and university governance requirements.</li> <li>Monitor and coordinate institutional compliance with relevant laws and regulations, including but not limited to the Personal Data Protection Act (PDPA) and other statutory obligations.</li> <li>Coordinate to maintain key corporate documentation, including Board/Council papers, meeting minutes, and statutory registers.</li> <li>Ensure statutory licenses, registrations, and contracts are current and compliant.</li> <li>Support the management of legal correspondence and responses to regulatory authorities.</li> <li>Coordinate the review and update of internal policies, standard operating procedures, and digital governance processes in collaboration with other administrative units.</li> <li>Support preliminary legal analysis and issue identification prior to escalation to external legal counsel.</li> <li>Assist in strengthening contract lifecycle oversight in line with Swinburne's governance requirements.</li> <li>Contribute to the development and maintenance of the University's compliance plan in alignment with Swinburne Australia's enterprise compliance framework.</li> </ul>                                                                                                                                                      |

| Key Responsibility Areas |                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|--------------------------|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                          |                                             | <ul style="list-style-type: none"> <li>Support the coordination of annual compliance exercises, including evidence compilation, verification, and reporting.</li> <li>Support the implementation of contract management digitalisation initiatives in alignment with the University's Digital Transformation strategic plan.</li> <li>Assist in maintaining the Delegations of Authority register in policies, ensuring accuracy, traceability, and alignment with governance requirements.</li> </ul>                                                                                                                                                                                                            |
| 3.                       | <b>LEADERSHIP &amp; COLLABORATION</b>       | <ul style="list-style-type: none"> <li>Provide guidance and supervision to assigned staff within the unit.</li> <li>Foster a collaborative working culture with other departments to ensure cohesive compliance and risk management practices.</li> <li>Build professional relationships with external agencies, regulators, and legal advisors.</li> <li>Support capacity building through training, briefings, and professional development initiatives in legal, risk, and compliance areas.</li> <li>Support capability development by sharing good practices in legal governance, ERM, and compliance assurance across functional units.</li> </ul>                                                          |
| 4.                       | <b>GOVERNANCE &amp; POLICY SUPPORT</b>      | <ul style="list-style-type: none"> <li>Support the development, review, and updating of governance policies and procedures.</li> <li>Assist in monitoring compliance with Board and Council requirements and ensuring timely reporting and documentation.</li> <li>Coordinate periodic reviews of institutional charters, regulations, and governance manuals to ensure legal and operational relevance.</li> <li>Assist in maintaining records of decisions, delegations, and approvals in compliance with university governance standards.</li> <li>Support alignment of local governance documents with Swinburne Australia's governance frameworks where applicable.</li> </ul>                               |
| 5.                       | <b>REPORTING &amp; DOCUMENTATION</b>        | <ul style="list-style-type: none"> <li>Prepare accurate and timely reports, summaries, and briefings for the Manager, Legal, Risk &amp; Compliance and senior management.</li> <li>Maintain appropriate documentation and records for all legal, compliance, and risk matters.</li> <li>Support data collection and submission of reports for audits, regulatory returns, and internal reviews.</li> <li>Consolidate data for compliance attestations, risk reviews, audit follow-ups, and regulatory submissions as required.</li> <li>Assist in coordinating organisation-wide follow-up for audit, risk, and compliance review findings to ensure timely closure and improved governance assurance.</li> </ul> |
| 6.                       | <b>OCCUPATIONAL HEALTH AND SAFETY (OHS)</b> | <p>Assist management in monitoring, measuring and reviewing performance of all OHSMS programmes including through the following:</p> <ul style="list-style-type: none"> <li>Coordinate the implementation of OHSMS and ensure compliance among all stakeholders particularly SUTS staff, students, contractors and visitors;</li> <li>Direct investigation of incidents and coordinate corrective actions as needed.</li> </ul>                                                                                                                                                                                                                                                                                   |
| 7.                       | <b>SWINBURNE VALUES AND CULTURE</b>         | <ul style="list-style-type: none"> <li>Commit to the Swinburne Values.</li> <li>Conduct work professionally while demonstrating the Swinburne Values at all times.</li> <li>Assist management in implementing the Swinburne culture and lead the team in embracing the Swinburne Values.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                               |

| Key Responsibility Areas |                     |                                                                                                                                                                                        |
|--------------------------|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 8.                       | <b>OTHER DUTIES</b> | Any other duties as required by the Manager, Legal, Risk & Compliance; or Director Administration; or PVC & CEO (Sarawak); or any other person as assigned by an authorised personnel. |

## SECTION C: Key Selection Criteria

Application letters and/or resumes must address the Qualifications and Knowledge/Experience/Attributes sections under the key selection criteria.

| <b>Qualifications:</b> Include all educational and training qualifications, licences, and professional registration or accreditation, criminal record checks etc. required for the position. |                                                                                                                                                                                                                                                                                                            | <b>Essential/<br/>Highly<br/>Desirable/<br/>Desirable</b> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|
| 1.                                                                                                                                                                                           | A Bachelor's degree in Law, Risk Management, Business Administration, or a related discipline from a recognised institution, with a minimum of 3–5 years of relevant experience including at least one (1) year at supervisory level.<br>Master's degree holders in relevant discipline can be considered. | Essential                                                 |

| <b>Experience / Knowledge / Attributes:</b> Required by the position to successfully perform the positions key responsibilities. |                                                                                                                                | <b>Essential/<br/>Highly<br/>Desirable/<br/>Desirable</b> |
|----------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|
| 1.                                                                                                                               | Demonstrated experience in legal review, compliance management, and risk governance within a corporate or educational setting. | Essential                                                 |
| 2.                                                                                                                               | Strong understanding of enterprise risk management, BCP, and regulatory frameworks.                                            | Essential                                                 |
| 3.                                                                                                                               | Excellent organisational and documentation management skills.                                                                  | Essential                                                 |
| 4.                                                                                                                               | High proficiency in written and verbal communication, including report and policy drafting.                                    | Essential                                                 |
| 5.                                                                                                                               | Computer literate, proficient in MS Office and document management systems.                                                    | Essential                                                 |
| 6.                                                                                                                               | Ability to maintain confidentiality, professionalism, and sound judgment in handling sensitive matters.                        | Essential                                                 |
| 7.                                                                                                                               | Knowledge of Malaysian laws and statutory requirements including PDPA, Companies Act, and other relevant legislation.          | Highly Desirable                                          |
| 8.                                                                                                                               | Ability to coordinate cross-functional initiatives and collaborate effectively across departments.                             | Highly Desirable                                          |
| 9.                                                                                                                               | Knowledge of institutional governance, higher education regulations, and university policy environments.                       | Highly Desirable                                          |
| 10.                                                                                                                              | Experience supporting governance or compliance reporting aligned with enterprise frameworks.                                   | Highly Desirable                                          |

### Applications:

The application must also include a separate document addressing each applicable element of the Key Selection Criteria (as listed in Section C above).