



Integrity and Standards Unit (ISU)

INFORMATION SHEET

No. 1, Jan 2018



Please refer to the [ISU website](#) for information on the following:

- [Complaint Resolution Process](#) (procedures, guidelines, flowcharts, forms)
- [Conflicts of Interest / Gifts, Benefits and Hospitality](#) (system, procedures, guidance, FAQs)
- [Public Interest Disclosures](#) (what, how, when, links to PSC information)
- [Fraud and Corruption Prevention](#) (plan, policy, risks, case studies, red flags)
- [Reporting Misconduct to external agencies](#) (CCC or Public Sector Commission)

and to access the:

- [Code of Conduct](#)
- [Online Complaints Portal](#)
- [Online Conflicts of Interest Register](#)
- [External avenues for lodging a complaint](#)

eesj@curtin.edu.au for information on rights and responsibilities under EO legislation.

I need help to resolve a complaint

Firstly, don't panic! The ISU is here to help you through the process, if you need help. In addition, there is considerable documentation available on the [ISU website](#) to assist you.

Remember that if you have been assigned a complaint to resolve, then you are responsible for ensuring that proper process is followed during complaint resolution and that resolution occurs at the earliest possible opportunity.

What does "proper process" entail? Well, it may mean different things, depending on the subject matter of the complaint. In particular:



• NEGATIVE FEEDBACK

Where someone expresses general dissatisfaction or makes uncomplimentary remarks about a particular action, decision or omission of the University, then it is necessary to enquire into the matter and provide a response (though the full complaint resolution process may not apply in determining your response).

• GRIEVANCE

Where a matter involves allegations of inappropriate or unfair actions, behaviours or a decision which have adversely affected the complainant in their dealings with the University, then use the [Line Manager Guidelines](#) as the framework for assessing the veracity of the complaint and coming to a resolution.

• INAPPROPRIATE BEHAVIOUR / STAFF MISCONDUCT

Apart from applying the *Line Manager Guidelines*, if the complaint also alleges staff misconduct, you are required to address matters in accordance with the relevant misconduct section in the applicable Staff Enterprise Agreement. Please consult with your People Business Partner (PBP) for guidance.

• RESEARCH MISCONDUCT

Apart from applying the *Line Manager Guidelines*, if the complaint involves research misconduct, you need to consider the [Australian Code for the Responsible Conduct of Research](#). For more information, refer to the [Research Management Policy](#).

• CONFLICT, DISPUTES AND EO ISSUES

Consider contacting the conflict management area in People & Culture for assistance in managing conflict in the workplace, or emailing

I need help to close a complaint

You've just completed the resolution of a complaint, but you're unsure about how to communicate the outcome to the complainant, or what you should / should not say in your communication.



Worry no more! Please refer to the *Line Manager Guidelines* (page 22) and sample template letter on the [ISU website](#), for guidance.

COMPLAINT CLOSURE NOTIFICATION LETTER TO COMPLAINANT - template

Dear [complainant's name],

Thank you for raising your concerns regarding [insert summary description about the complaint] with us.

The University views all complaints received as an opportunity to improve the services delivered and appreciates your assistance in the ongoing improvement of these services.

I regret that you experienced dissatisfaction with [subject matter of complaint].

I now wish to confirm that I have completed my [either "enquiry into" or "investigation of"] your complaint.

My [either "enquiry" or "investigation"] involved gathering information / evidence in relation to [explain scope of the enquiry / investigation].

INTEGRITY AND STANDARDS UNIT INFORMATION SHEET NO. 1, JAN 2018

If you see or hear something
that's not right ... say something!



Sexual Harassment and Sexual Assault

Curtin has a zero tolerance approach to sexual harassment and sexual assault. If you ever experience sexual assault or sexual harassment, see something that shouldn't be happening, or think you may need support, contact the Curtin Safer Community Team (see below). The ISU is also available to discuss such matters on a strictly confidential basis, should you wish to do so.

Report a sexual assault or sexual harassment incident

If you are aware of, or have experienced an incident of sexual assault or harassment, see something that shouldn't be happening, or feel unsafe, please report it. Our Safer Community Team can be reached directly on +61 8 9266 4444, or through our online form. You can make an anonymous report if you choose. All reports are treated seriously and confidentially.

REPORT AN INCIDENT

Portrait of a fraudster

What are the conditions that must be present for fraudulent behaviour to occur in the workplace?

[Cressey's Fraud Triangle](#) is a model for explaining the factors that cause someone to commit fraud; it is comprised of three components which normally must all be present for fraudulent behaviour to occur:

1. **OPPORTUNITY** i.e. the circumstances that permit someone to commit a fraud, is generally provided through weaknesses in internal control systems e.g. poor supervision.
2. **PRESSURE** i.e. the pressure placed on or incentive provided to a person to commit fraud e.g. due to personal financial problems, gambling, drugs, debt, etc or unrealistic deadlines or performance goals.
3. **RATIONALISATION** i.e. when the individual develops a justification for their fraudulent activities. The rationalisation varies by case and individual. Some examples include:
 - "I really need this money and I'll put it back when I get paid"
 - "I just can't afford to lose everything – my home, car, everything"
 - "The organisation deserves this for treating me badly"



Complaint Data— Quarter 4, 2017

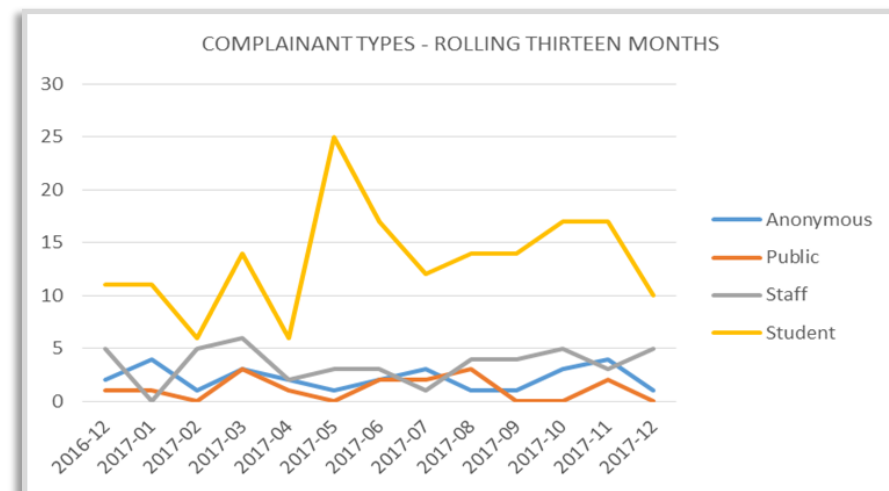
The ISU collects and reports on complaint data on a quarterly, rolling 13 months, and end of financial year (12 months) basis. For the three months and rolling 13 months period ending 31 Dec 2017:

Quarterly data

- 67 complaint matters were registered (compared to 59 in the third quarter). This was a 14% increase on the third quarter and a 34% increase on that reported in the same period 2016. A significant portion of the increase was due to a spike in examinations-related complaints.
- 44 complaints came from students (compared to 40 in the third quarter), 13 from staff (compared to nine in the third quarter) and the rest were anonymous or from the public.
- Faculties dealt with 41 of the matters (compared to 35 in the third quarter).
- Ratio of *Not Upheld* to *Upheld* complaints was 18 : 24, with 25 still in progress at quarter end.
- Only one matter remains unresolved from 2015 and two from 2016, at time of reporting.

Rolling 13 months data

- Overall, the pattern of Student / Staff / Other complaints replicates previous rolling thirteen month cycles, with the number of student complaint matters registered across successive thirteen month cycles remaining fairly consistent at between six and seven out of every 10 complaints reported, while overall staff complaints continue to represent approximately two out of every 10 complaints reported.
- Evidence suggests that the ratio of not upheld to upheld complaints overall is continuing to favour not upheld outcomes, based on the last five successive rolling 13 month period reports though the latest report saw an increase in upheld outcomes which has slowed the trend.



Do you suspect fraud or corrupt behaviour in the workplace? If so, please immediately [report your suspicions](#). For more information, check out our [fraud and corruption prevention web pages](#).

Quick note ... don't forget to disclose your conflicts of interest and gifts, benefits & hospitality by way of [Curtin's Conflict of Interest Register](#)!



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