



Integrity and Standards Unit (ISU)

INFORMATION SHEET

No. 2, April 2017



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](#) (procedures, guidance, flowchart, 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](#)

Revised Code of Conduct **NEW**

The revised Code of Conduct ([the Code](#)) was approved by the P&MC on 22 Feb 2017 and became available to the University community on Monday 4 April 2017, via the ISU website.

Please take some time to review the Code, in particular the seven (7) professional standards described in Schedule 1.



ISU Training Workshops **NEW**

The ISU will be presenting four training workshops at Bentley campus during May 2017 to help build knowledge and skills in the areas of complaint handling, disclosure and management of conflicts of interest/ gifts, benefits and hospitality, and fraud and corruption prevention, detection and response:

- **Avoiding Conflicts of Interest** Monday 8 May (9-11am)
- **Fraud and Corruption – Prevent, Detect and Respond** Monday 15 May (9-11am)

- **Managing Complaints** Monday 22 May (9-11am)
- **Fact Finding** (which follows on from Managing Complaints) Thursday 25 May (9-11am)

Registration is available via the iPerform system within OASIS, and is open to all staff.

Conflict of Interest System **NEW**

The (fabulous) new [Conflict of Interest / Gifts, Benefit and Hospitality system](#) became available to Curtin staff on Monday 4 April 2017, via the ISU website.



As it is not possible to transfer existing notifications from the old system to the new system, the ISU has extracted the old notifications (from April 2013 onwards) and is emailing staff requesting that this data be validated and manually re-input to the new system.

Please contact the ISU if further information is required.

Accessibility for Complainants

Curtin's [Disability Access and Inclusion Plan](#)¹ outlines the strategies that the University will undertake to provide an accessible and inclusive environment for students, staff and visitors with disabilities.

In alignment with that Plan, the ISU provides a variety of accessibility options to assist people with a disability in registering a complaint.



We also provide a *disability access and inclusion* complaint category (and sub-categories) for reporting complaints about access to services and events, buildings and facilities, information, service, complaints, public consultation and employment etc. All complaint categories are listed [here](#).

More information on accessibility options is available on the ISU [Accessibility](#) web page or by contacting the ISU.

¹ Currently under review.



INTEGRITY AND STANDARDS UNIT INFORMATION SHEET NO. 2, APRIL 2017

Complaint Data— Quarter 1, 2017

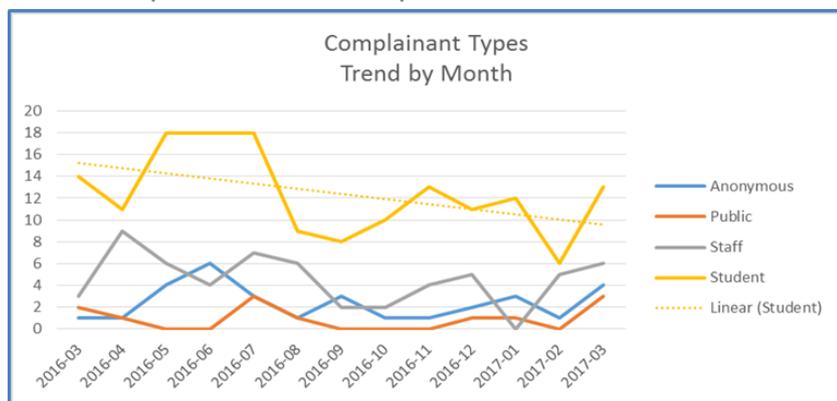
The ISU collects and reports on complaint data on a quarterly, rolling 13 months, and end of financial year (12 months) basis. For the three months and rolling 13 months period ending 31 Mar 2017:

Quarterly data

- 54 complaint matters were registered in the first quarter (compared to 69 in the first quarter of 2016).
- 41 other matters were received concerning feedback, enquiries and matters to be dealt with by other areas. These were directed to the appropriate party for attention.
- Around six in every 10 complaints registered came from students, two in every 10 came from staff and the rest were anonymous or from the public.
- Just over half of all complaints registered were sent to the four Faculties for resolution.
- Only two matters remained unresolved from 2015 and 11 from 2016, at time of reporting.
- In terms of complaint status at quarter end, the ratio of *Not Upheld* to *Upheld* complaints was 23:9, with the remaining 22 still in progress.

Rolling 13 months data

- Though there had been a general overall reduction in complaint numbers in the last six (6) months of 2016, this did not carry through into the first quarter of 2017, with numbers starting to spike towards the end of the quarter. This is to be expected with students back on campus and staff returning from leave.
- Regardless, there is a general downward trend showing on student complaints only, as well as on total complaints over the 13 month period.



How well do you know the complaint handling process?

The ISU often gets queries from line managers regarding the correct process for handling complaints.

The answers to the most common questions are outlined below, but you can also find them in the [Line Managers Guidelines - how to effectively deal with complaints](#).

- **Q1 – A matter which meets the definition of a complaint has come to my attention which I am dealing with satisfactorily. Why do I have to also register it through the complaints portal?**

Answer: There are three main reasons as follows:

- * To ensure proper, accurate and reliable data is captured, in turn enabling problem areas or systemic issues to be identified and addressed.
- * To enable the ISU to screen for misconduct or suspected misconduct (and enable the University to meet its external reporting obligations under the Corruption, Crime and Misconduct Act 2003).
- * To provide a defence to the University to staff members alleging that they told the University of particular matters which required the University to act on them and the University failed to take proper action in that regard.



- **Q2 - How soon after receiving a complaint should I email back the complainant acknowledging receipt of their complaint?**

Answer: A response should be provided within five working days.

- **Q3 - How soon after receiving a complaint should I actually commence the resolution process?**

Answer: The complaint resolution process should commence within 10 working days.

- **Q4 - As part of the complaint resolution process, should I make further contact with the complainant?**

Answer: If possible and where relevant (depending on the subject matter of the complaint), it is good practice to either phone, email or meet with the complainant to explain the process to be followed, the roles of parties involved and gather any further information to assist you in making the best possible decision in relation to the matter.

- **Q5 - Am I permitted to or should I give the respondent a copy of the complaint?**

Answer: You need to ensure that you adhere to the rules for procedural fairness in your dealings with all parties concerned. One of those rules is that a person who may be adversely affected by a decision is given the right to know the information used to make that decision and to be given the opportunity to comment on that information.

If there is information of a confidential nature contained in the complaint which should not be shown to the respondent, then that information may be redacted e.g. when a complaint involves the actions or behaviours of multiple Curtin respondents.

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