



## Integrity and Standards Unit (ISU)

# INFORMATION SHEET

No. 1, Feb 2017



Please refer to the

[ISU website](#) for information on:

- [Complaint Resolution Process](#)  
(complaint procedures, guidelines, process flowcharts, templates)
- [Conflicts of Interest / Gifts, Benefits and Hospitality](#)  
(CofI Register, CofI procedures, CofI types, process flowchart, FAQs)
- [Public Interest Disclosures](#)  
(what, how, when, links to Public Sector Commission information)
- [Fraud and Corruption Prevention](#)  
(plan, policy, risks, case studies, red flags)

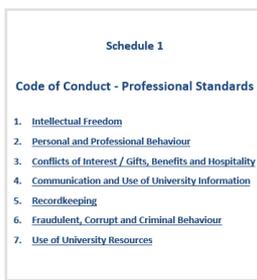
and to access the:

- [Code of Conduct](#)
- [Online Complaints Portal](#)
- [Valuing Integrity booklet](#)
- [External avenues for lodging a complaint](#)

### Revised Code of Conduct is coming!

During the second half of 2016, the ISU reviewed and revised the University's Code of Conduct. This was undertaken by working and consulting extensively with both internal and external stakeholders and conducting considerable research into similar Codes in place at other universities in Australia.

It is intended that the revised Code will now be presented at the 22 Feb 2017 meeting of the P&MC, for final approval.



Note that the University-wide implementation of the revised Code will not occur until the current online Code of Conduct training module in the iPerform system is reviewed and updated to fully align with the revised Code. It is expected that this will occur before the end of the first quarter 2017.

Stay tuned for further information!

### New Conflict of Interest System

A new University Conflict of Interest reporting system has been developed and will soon be made available to staff in Feb 2017.

The system provides an improved means for disclosing, assessing and reporting on conflicts of interest, including gifts, benefits and hospitality. Key features include the following:

- Full online text instructions, aligned with the [Conflict of Interest procedures](#) to guide users in the process of disclosing or assessing a conflict of interest or gift, benefit or hospitality.
- Users can create draft notifications or assessments, exit the system and then return later to edit and finalise them.
- Improved validation processes to minimise the chances of making errors and having to re-input notifications or assessments.
- Where required, ISU staff can deactivate existing disclosures or assessment records (that are incorrect or no longer valid), thereby ensuring that only current information is reported.

- Users can login to make a disclosure, assess a disclosure, check the status of their notifications or assessments, and view a history of their past disclosures or assessments.
- An automated email reminder system reminds users when they have outstanding notifications that need to be assessed.
- A full online audit trail of all processes undertaken is maintained in the system.

For further information, please go to the [Conflicts of Interest / Gifts, Benefits and Hospitality](#) web page.

*NOTE: The successful creation of this system was only possible through the highly dedicated and collaborative, client-focused efforts of the CITS development team (under the leadership of Marcus Twine) who worked closely with the ISU to produce a top quality software product. Many thanks to all involved!*

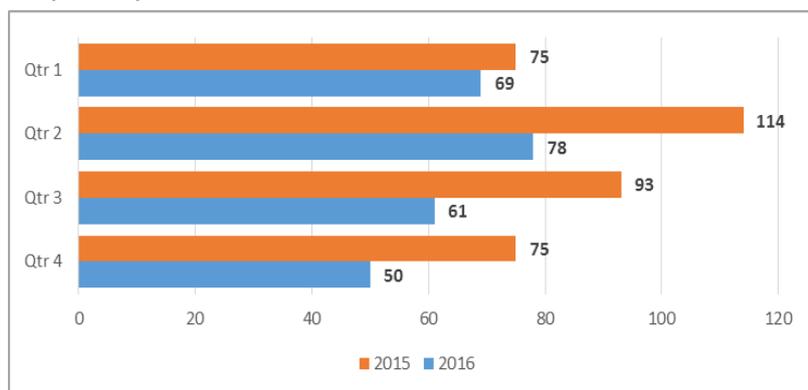


# INTEGRITY AND STANDARDS UNIT INFORMATION SHEET NO. 1, FEBRUARY 2017

## Complaint Data— Quarter 4 and Full Year 2016

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 ended 31 Dec 2016:
  - 50 matters which met the University's definition of *complaint* were registered.
  - 68% of complaints came from students and 22% from staff.
  - As usual, Teaching and General Misconduct-related complaints dominated the qtr.
  - The Faculties were responsible for addressing 54% of complaints received. There was also a 52% drop in the number of complaints received by Faculties between qtr 3 and qtr 4 .
- For the 12 months ended 31 Dec 2016:
  - 258 matters which met the University's definition of *complaint* were registered.
  - 59% of complaints came from students and 25% from staff.
  - Of the 151 complaints raised by students, 46 (or around one in every three student complaints) concerned Teaching .
  - Of the 64 complaints raised by staff, 45 (70%) concerned staff (academic, serious or general) misconduct.
  - Around one in every two complaints received in 2016 (54%) were assigned to the four Faculties (140) to be addressed. If Open Universities Australia (OUA) student complaints are included, then the figure for 2016 increases to 158 (61%).
  - There appears to have been an overall downward movement in complaint numbers per comparable quarter between 2015 and 2016:



## Public Sector Commission (PSC) Review of Curtin University

The Corruption, Crime and Misconduct (CCM) Act, which came into operation on 1 July 2015, requires public authorities (such as Curtin) to manage and notify misconduct. Misconduct that satisfies the definitions in the CCM Act must be appropriately notified to the Corruption and Crime Commission (for serious misconduct) or to the PSC (for minor misconduct).

After a year of operation under the revised notification and reporting arrangements, the Commissioner of the PSC considered it appropriate to evaluate aspects of the culture, leadership, systems and processes used within public authorities to manage misconduct. An evaluation was subsequently undertaken to build an understanding about the nature and maturity of controls. Curtin was one of 12 agencies evaluated in the review (as was UWA).

The outcome from the evaluation was reported in two PSC publications:

- [State of the Sectors 2016 report](#) which was tabled in Parliament on 17 Nov 2016. In that report, it stated that ... *Curtin University and the City of Stirling were overall the highest rating authorities, with Curtin University having the most consistently high ratings across all the criteria considered.*
- Report titled [Arrangements to manage misconduct and notify misconduct](#) which was also issued on 17 Nov 2016. This report provided many examples of good practice strategies found to be in operation within the agencies evaluated. In relation to these strategies, Curtin University examples were featured in nine (9) separate areas of the report.



## The Conflicted Researcher

For researchers, a conflict of interest may arise where a competing private interest compromises, or has the appearance of compromising, the researcher's professional judgment in conducting, evaluating or reporting on research.

It may affect, or be seen to affect, not only the collection, analysis and interpretation of data, but also the hiring of staff, procurement of materials, sharing of results, choice of licensees, choice of protocol, involvement of human subjects, and the use of statistical methods.



Would you be conflicted if you were placed in any of the following situations?

- You have been funded to research the development of a particular medicine for a pharmaceutical company. You have been informed that if the testing results are positive, you will receive further grant funds for other projects. The company has also advised it will be unsupportive of the communication of contrary results.*
- You hold equity in, and receive income from, a company that is sponsoring your research at the University.*
- You have a desire to increase your publication rate, so you are thinking of using a slightly skewed research design that favours a particular outcome in the hope of improving the study's appeal to a peer-reviewed journal.*
- You testify at an environmental impact hearing that the proposed construction of a chemical plant by a company will have no negative impact on the surrounding community (though the plant will deal with toxic materials). The research behind your conclusions is originally government funded, but upon expiry, has been taken up by the company.*

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