

1. **ACADEMIC MISCONDUCT**

- plagiarism
- cheating
- soft marking

Response:

- Code of conduct
- Copyright law
- Policies & procedures
- Staff induction
- External expert “audit”
- Software programs (plagiarism)
- Adequate supervision (e.g. exams)
- Peer review
- Regular program audits
- Examination protocols
- Disciplinary procedures
- Complaints mechanism

2. **MISUSE OF RESEARCH FUNDS**

Response:

- all research grant funds within university (e.g. no external companies, separate bank a/cs etc.)
- associated and/ or controlled entities
- researchers declare interests
- code of conduct
- awareness of consequences (pre-emptive notification, transparency of process)
- transparency of use of research funds

3. **ASSETS & PROPERTY**

- diversion to non uni related activities

Response:

- management & supervision
- monitoring of use log, internet, emails
- CAATs
- Code of conduct
- Disclosure
- Materiality (i.e. quantum)
- Maintaining control of portable assets
- Assets registers
- Security
- Policies procedures
- Succession planning

- Contractual arrangements (viz exclusion clause, contract of employment)

4. **SYSTEMS**

- IP be included (data)

Response:

- as pr item 3

5. **INFRASTRUCTURE**

- print & design

Response:

- security checks
- passwords/ pin numbers
- swipe cards
- monitoring patterns of use
- code of conduct
- non-reproducible logo's (i.e. password security, read only files)

6. **NEPOTISM**

Response:

- code of conduct
- policy/ procedures (disclosure)
- “tone at the top.”

7. **NEW BUSINESS – PRIVATE BUSINESS**

- personal income – uni meets costs

Response:

- disclosure (viz. Conflict of interest)
- code of conduct
- effective staff selection procedures
- rewarding right behaviour
- policies/ procedures
- regular audits

8. **PROCUREMENT**

Response:

- policies/ procedures
- code of conduct
- disclosure (e.g. conflict of interest)
- systems integrity
- independent authorisation (e.g. V/C's authorisation)
- value for money

9. **LOSS OF DATA & SYSTEMS INTEGRITY**

- teaching & learning
- consider offshore

Response:

- regular back-ups
- policy procedures
- processing controls (e.g. access controls, encryption)
- firewall
- regular security checks
- exception reporting
- interface/partitioning backups server

10. **INTERNATIONAL TRAVEL**

- benefit ?

Response:

- cost/ benefit analysis
- approval/authorisation
- code of conduct
- policy procedures

11. **LAPTOP/CAR/FRINGE BENEFIT IN LIEU OF SALARY**

Response:

- code of conduct
- disclosure
- policy procedures (sanctions, disciplinary action)
- spot checks

12. **CONFLICT OF INTEREST**

- research grants – subcontract i.e. to relatives

Response:

- code of conduct
- policy procedures
- C of I declarations
- CAAT monitoring

13. **SMALL COMMUNITIES**

- relatives
- procurement coy's
- equivalent to

Response:

- duty of disclosure
- code of conduct

- appropriate approvals/ authorisation

14. ACADEMIC PROGRAMS EQUIVALENT TO

- softening rules
- i.e. overseas = Aust

Response:

- program accreditation
- program review/ peer review/ professional association review
- cross marking
- policy procedures
- code of conduct

15. OH & S

- rack
- consider aca, staff contractors

Response:

- induction
- OH & S audits
- OH & S training
- Policy/ procedures
- Legislation

16. NON-UNI ACCREDITED COURSE

- to degrees
- \$ uni misses out

Response:

- policy procedures
- course accreditation
- regular reviews/ spot checks
- staff competency
- peer reviews

17. STAFF CHANGES – SUCCESSION PLANNING

Response:

- planning
- exit interviews (why did they leave)
- documenting procedures
- skills data base
- staff rotation

18. RESTRUCTURES

- history lost
- dilution of corporate knowledge

Response:

- record keeping/ process doco
- succession planning - post-restr review
 - transition management plan
- separation process (see also 22)
- exit interviews

19. ADVANCED STANDING

- Same treatment
- Verification

Response:

- data checking – SRS – B of E – Fac Rev
- clear set of rules
- consistency between institutions
- testamur checking

20. CONTRACTUAL LIABILITY

- academics understanding?
- ELC's

Response:

- checking by lawyers B4 signing
- doc trail w/sign offs
- Approval process (H of S)
- Code of conduct
- O/S earnings policy (Academic consulting)
- Consulting guidelines
- Ext'l review of \$A large amounts
- Review by risk financing

21. CONTROL ASSOCIATION ENTITIES

- \$
- = and none

Response:

- conflict of interest policy/ regs
- approval process (up to Senate/ Council)
- Mid term reviews
- Strategic matching
- Due diligence
- Proper governance structures

22. ACCESS TO UNI ASSETS AFTER LEAVING ORGANISATION SEPARATION PROCEDURES

- access to systems as well phys.

Response:

- pre-departure checklists
- policy (see 18)
- Emeritus appts

23. HIJACK – ACA- KNOWLEDGE, PRIVATE COY

Response:

- Ethics/ code of conduct
- Strong leadership & reporting
- Fraud policy
- See also 18
- Conflict of interest provisions
- IP policy
- See 24

24. PROJECT ASSESSMENT – RESEARCH, OTHERS

Response:

- documented peer review protocol
- process for harvesting IP
- funding body agreements
- see 23
- project reports – fac/ academic boards – research data

25. BUSINESS CONTINUITY PLANNING/ DRP

Response:

- CIMP (IT, faculty, Human, \$A)
- Rehearsals/testing
- Contact registers
- Infrastructure
- Currency/ comms to all stakeholders

26. IT GOVERNANCE

Response:

- policy
- IT reporting/Dec-making
- Review update
- See 25 (?) for IT DRP
- SLA's
- Proper SDLC methods
- IT acquisition/procurement
- Security regimes documented plus publicising
- Tools - endcase

27. LITIGATION (RISK?, RESULT).

- Cat reputation (Academic Rep Institutional)

Response:

- 27A is a consequence of 28

27B – LOSS OF REPUTATION > is a consequence of other risks

28. LEGISLATION – OH & S (PERSONAL RISK) – COMPETIT – COMPLIANCE

Response:

- Compliance function
- Register of legislation (monitor)
- Legal representation

29. VITAL RECORDS

- security (mgmt)
- privacy
- res.o.

Response:

- proper records management
- policy and documented procedures
- training and well communicated
- document email retention pol & proc
- restricted access

30. GOVERNANCE STRUCTURES

- groups
- poorly struc
- CRC's

Response:

- risk assessment before commitment
- annual reviews of risk/outcomes

31. CAPITAL PROJECTS – MANAGEMENT

Response:

- (Buildings only) – conflict of interest – code of conduct
- proper project management
- records management refer to item 29
- tendering policies and procedures

32. DISCIPLINARY PROCEDURES/ SANCTIONS

- whistleblowing
- - effective?

Response:

- code of conduct
- policies & procedures – staff – students
- education
- staff EBA
- Student Handbook
- Annual declaration of compliance

33. PERFORMANCE MANAGEMENT – STAFF

Response:

- We think performance management is a treatment/control rather than a risk

34. ROYALTING STREAMS

- IP
- Equity diversion

Response:

- policy procedure written communicated
- individual contract
- disciplinary procedures (breach)

35. DISPOSAL OF ASSET – ASSET MANAGEMENT

Response:

- policy procedure (audit procedure – annual rolling)
- delegation of authority
- central asset register

36. WASTE DISPOSAL

- industrial
- documentation security
- bio hazards

Response:

- training
- legislative compliance – OH & S, EPA regulation, international protocols
- outcome
- reputation
- environment responsible

37. INTELLECTUAL PROPERTY

Response:

- see 34
- IP – register
- process

- item protection i.e. patent

38. LEAVE

- staff \$

Response:

- policy procedures
- enterprise bargaining – union, private & individual
- leave recording systems
- management monitoring
- financial balance sheet
- leave liability reporting – monthly/periodic – payroll link

39. STAFF

- working from home
- accountability

Response:

- policy procedures
- position description
- performance criteria/ appraisal

40. CASH HANDLING

Response:

- security – personnel
- security monies
- risk assessment
 - physical locations i.e. collection points
 - online enrolment
 - banking arrangements – Armourguard etc.
 - segregation of duties
 - internal controls
 - policy procedure

41. STAFF TRAINING

- policies/ procedures
- raising awareness
- up-to date/ currency

Response:

- Policy and procedure
- Lack of S.S.: OH & S
 - Duty of Care
 - Budget
 - Finance
 - Legislation
 - Mandatory
 - Record of training

42. OFFSHORE ACTIVITIES

Response:

- time difference – exams
- business case
- Pre/ post implementation outcome Audit (Business case) register
- Agent management procedures
- Legal counsel
- Local legislation oversight
- contracts

43. PHYSICAL SECURITY

Response:

- risk & threat assessment
- campus layout
- crisis management plan/ procedures
- OH & S procedures
- Business continuity
- Trauma counselling
- Lighting
- Static guards
- Cameras
- Building access controls
- < 18 yrs legislation
- ID cards
- Building maintenance
- Physical security

44. PEOPLE

- security/safety – public i.e. CCC's, students, staff

Response:

- same as per item 43

45. ACCOMMODATION (students – link to 44)

Response:

- same as per item 43

46. DUTY OF CARE TO STUDENTS

- LT \$ funding particularly international students
- Management
- Placements (i.e. clinical)
- Dangerous activities

Response:

- refer total outcomes of Integrity Systems Conference

47. RELATIONSHIPS – PERSONAL

Response:

- policy
- code of conduct
- communication – staff/ students
- complaints procedures –ombudsman/ conciliation

48. TERRORISM – SARS

- links to OH & S

Response:

- links to 43/44/45
- police – liaison
- govt. departments

49. INDUSTRIAL ISSUES & LEGISLATION

Response:

- policies procedures – HR
- HR management process
- Refer legislative compliance answer

50. STUDENTS

- < 18 yr child protection legislation

Response:

- see 43/44/45

51. ALCOHOL & DRUGS

- students/ staff

Response:

- clear policy statements
- guidelines student activities
- supporting mechanisms

52. VISA – IMMIGRATION ISSUES – ESOS – STAFF STUDENTS

Response:

- as per item 62
- *original documentation

53. DISABILITIES

- resources
- facilities
- equity

Response:

- policy
- OH & S function resourced fulltime
- Ownership

54. HONOURARY APPOINTMENTS

- council members

Response:

- terms of reference
- agreed obligation
- code of conduct
- directors & officers insurance

55. BOARDS

- external members
- accountability

Response:

- TOR
- Agreed obligation
- Conflict of interest management
- Code of conduct
- Directors' and officer's insurance

56. MEMBERS OF STAFF

- boards
- conflicts of interest

Response:

- code of conduct
- disclosure
- management of conflict

57. COMPANIES ACT

- for wholly Coy
- i.e. research lab

Response:

- Internal audit
- External audit
- Controls implemented via contract
- Board representation
- Same policies and procedures
- Access to records

58. ETHNIC – CULTURAL – EEO CONSIDERATIONS

Response:

- policies
- reporting structure
- grievance handling
- resourcing

59. FINANCIAL STATEMENTS

- qualifications
- words
- reputations

Response:

- compliance with standards
- internal audit
- external audit
- finance committee
- audit committee

60. TEACHING & LEARNING

- fee paying students
(links to 14)

Response:

- tracking specific students
- exception reports
- verifying electronic records
- report all acceptable applicants below prerequisites
- enrolment process verifying credentials
- split marking; double marking

61. DOMESTIC vs. INTERNATIONAL LEGISLATION

- ethics
- research
- animal ethics

Response:

- information base: web sites & links
- university solicitor
- policy

62. INSURANCE CONTRACTS

- if going overseas in arrangement
- “overseas jurisdictions”

Response:

- limit liability/ insurance
- non repudiation

- governance, accountability, authority, delegation
- Web site: characteristics/ warnings for overseas location/ immigration

63. GRANT ADMINISTRATION

Response:

- meaningful budgets
- independent assessment/ monitoring
- project plan – clear/ concise description of grants
- governance, accountability, authority, delegation

64. INVESTMENT STRATEGIES

- who we go with
- creates conflict interest

Response:

- methodology; conflict of interest, owner, resourcing, involvement
governance/accountability/RFT

65. PROPERTY INV./DEV (links to 31)

Response:

- as per item 64

66. MISUSE OF STAFF TIME

- “theft of time”

Response:

- as per item 67
- performance evaluation

67. CYBERSLACKING

- surfing
- emails

Response:

- code of conduct
- policies on equipment usage & time
- awareness training
- restricting access to relevant sources

68. NEW SYSTEMS

- it & others

Response:

- as per item 64

69. PROPERTY HELD IN TRUST

- art collections

- libraries
- security/ maintenance
- insurance obligations
- bequests & scholarships

Response:

- inventory register – audit verification
- policy ownership/ custodianship/ governance
- insurance
- maintenance

70. ATTENDANCE RECORDS

- students
- casuals

Response:

- manual roll records
- electric records
- reliability/ integrity/ intervention

ADDITIONAL

71. GENDER BIAS IN MARKING ASSESSMENTS RESULTING IN DISPUTED APPEALED ASSESSMENTS