

THE UNIVERSITY OF QUEENSLAND

INTEGRITY UNIT

TERMS OF REFERENCE

TOR Approved by	Senate
Reporting To	Chief Operating Officer and The Complaints Management Committee
Approved Date	30 November 2021
Next Review Date	TBD
Contact	Director, Integrity Unit

Purpose

The purpose of these Terms of Reference is to establish the roles and responsibilities of the Integrity Unit and to provide authority to it to carry out its functions.

IIU Objectives

Prevention – Prevent misconduct by establishing effective controls.

Promotion – Promote integrity and ethical decision-making and behaviour via training, awareness and the provision of advice on relevant matters.

Protection – Protect the University, its students, staff and stakeholders from reputational harm via effective complaints management, investigations and reporting mechanisms.

The responsibilities of the Integrity Unit are to:

- **Establish and implement Controls**
- Provide assistance and support to the complaints management functions of the University as required;
- Manage the University's Fraud Prevention Plan including developing effective controls;
- Develop and monitor controls that deal with conflicts of interests.

- **Enable and manage adoption of ethical behaviour through;**
- Developing and delivering of training and awareness tools aimed at minimising the incidence of misconduct at the University;
- Manage the University's Conflict of Interest framework;
- Provide policy advice as requested on related topics;
- Contribute to the development of a mature framework targeting sexual misconduct;
- Develop and implement appropriate policies relevant to the function.

- **Review and respond**
- Manage and undertake investigations in a manner, which meets the requirements of the University;
- Develop investigations frameworks and escalation protocols, which are appropriate to meet the needs of the University;
- Manage external contracting-out of investigation services to external suppliers as appropriate;

- Manage the Public Interest Disclosure (PID) responsibilities of the University, including data collection and risk management;
- Manage the assessment and referral of corrupt conduct matters to the Crime and Corruption Commission;
- Manage the reporting of appropriate matters to the Queensland Police Service.
- **Assurance and report**
- Develop mechanisms to identify and report on systemic issues;
- Provide reports as appropriate to the VCRCC and SRAC.

Scope

Generally the scope of services includes, but is not be limited to, assessments and investigations of allegations or suspicions of the following:

- Conflict of Interest;
- Fraud and corruption;
- Maladministration;
- Misuse of University resources;
- Sexual misconduct;
- Other matters that may amount to staff misconduct, staff serious misconduct, corrupt conduct or public interest disclosures.

The Vice-Chancellor, Chief Operating Officer, Provost, or the Complaints Management Committee may direct the Integrity Unit to investigate other specified matters.

Investigations undertaken by the Integrity Unit are not confined to the University of Queensland and may extend to its controlled entities or associated bodies.

Authority

The Integrity Unit is authorised by Senate to oversee or carry out assessments and investigations within the defined scope of this Terms of Reference.

In carrying out its responsibilities, the Integrity Unit will have:

- With the appropriate approvals (from the Complaints Management Committee), free and unrestricted access to all premises of the University and the right to inspect all correspondence, files, records, accounts and all other forms held by the University as is necessary for the conduct of investigations.
- The right to require all officers of the University to supply such information, explanations and documentation as is necessary for the conduct of investigations.
- Every assistance from University staff as is necessary for the conduct of investigations.
- The right to meet with Senate Risk and Audit Committee (SRAC) without other management personnel present. Such meetings with the Integrity Unit should address, amongst other things whether there have been any impediments to carrying out their respective investigations.

Investigation Standards

In carrying out its investigations the Integrity Unit will:

- Comply with and the University's Complaints Management Policy and Procedures, other relevant University policies and procedures.
- Where practicable observe investigation guidelines *Corruption in Focus* as published by the Crime and Corruption Commission;
- Apply the rules of natural justice and procedural fairness.

Reporting

Internal reporting

The Integrity Unit reports to the Vice-Chancellor's Risk and Compliance Committee and the SRAC on investigation trends and systemic risk issues which may be highlighted by investigations activities.

The Integrity Unit is accountable for routine operations to the Complaints Management Committee (CMC) to:

- Report on all investigations.
- Coordinate with other control and monitoring functions (internal audit, compliance, risk management, security, legal, ethics, research, external audit).

The Integrity Unit is accountable to the Complaints Management Committee to:

- Report on all significant investigations.
- Provide information periodically on the status and results of the program of activity for the function.

The Director, Integrity Unit will brief the Chair of the SRAC on current investigations undertaken by the Integrity Unit on a periodic basis.

External Reporting

As a Queensland Statutory Body, UQ is obliged to observe the requirements of the *Crime and Corruption Act 2001* and the *Public Interest Disclosure Act 2010*, which includes reporting of corrupt conduct allegations and public interest disclosures.

The Director, Integrity Unit will undertake the role of the Crime and Corruption Commission (CCC) Liaison officer and Public Interest Disclosure Coordinator and advise the Vice-Chancellor of serious matters that have been referred to the CCC.

Independence

The Integrity Unit will be administered by and report routinely to the Chief Operating Officer and the Complaints Management Committee. It also has direct access to the Vice-Chancellor, Chancellor and Chair of the SRAC where required.

Review

This Terms of Reference will be reviewed every 3 years by the Complaints Management Committee and the SRAC.