

Faculty of Science

Science

Sample Compliance Self-Review

Department/School

Section 1: Students & Administration

Has a LAN Administrator been appointed?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Is the LAN Administrator registered with ITS?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Have procedures been developed to cover the conduct of assessment in subjects offered by your Department, for example: <ul style="list-style-type: none"> • grading policy & grade structures • policy on late submissions • authorisation of changes to grades 	<input type="checkbox"/> YES <input type="checkbox"/> NO
Have procedures been developed to handle student grievances and complaints within your Department?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Does your Department ensure the following: <ul style="list-style-type: none"> • web pages are readable by all users (including, for example, users with visual disabilities)? • alternative sources of information contained on your web site are provided (such as lecture notes, multimedia programs, contact details for assistance) to ensure equitable access? 	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are security alerts by suppliers and security agencies monitored and remedied?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 2: Buildings & Property

Does your Department maintain an Assets Register that is checked annually?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Is important equipment kept behind locked doors?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Do all staff have somewhere to lock up their personal items?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 3: Contracts & Agreements

Does the Legal Office check all contracts over \$60,000 in value and those not in standard form?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are formal legal documents used for all commercial agreements of any kind?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Does your Department ensure that contracts with external contractors provide adequately for insurance and specify in detail the standard of work required?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are contractors briefed, in writing, on the following: <ul style="list-style-type: none"> • basic Occupational, Environmental Health & Safety and Equal Opportunity requirements • emergency procedures, as per the EHS Manual? 	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 4: Consumer Protection

Have all staff members in your Department who are involved in marketing and promotion been briefed on what is and is not allowable in advertising? For example, 'puff' in advertising is allowable, but it is not allowable to state an exaggeration as a fact.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are all publications updated regularly?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are all staff members advised that if they are commercialising their own intellectual property they must: <ul style="list-style-type: none"> • advise the University's Intellectual Property Officer at an early date? • provide the Intellectual Property Officer with evidence that (a) adequate insurance cover against a product liability action has been obtained, and (b) the employee will indemnify the University in case of such action? • ensure that insurance is maintained for the life of the project, and a certification of this is supplied annually? 	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 5: Copyright & Other Intellectual Property

Are all staff briefed on their obligations not to breach student Intellectual Property rights?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are all students who are assisting on research projects or undertaking work placements entailing Intellectual Property advised of their rights relating to Intellectual Property?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are all staff briefed regularly about the University's obligations to conform to the requirements of the Copyright Act?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Do all academic staff, as appropriate, warn students against plagiarism or other breach of the IP of other students or staff?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 6: Emergencies

Do all staff display the following at their workstation: <ul style="list-style-type: none"> • Emergency phone numbers • Evacuation Guide (1-page document)? 	<input type="checkbox"/> YES <input type="checkbox"/> NO
Have all the locations in your Department been assessed for vulnerable areas, for example: reception areas, areas that are open late at night, areas where staff work alone?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, has someone from your Department discussed the physical measures which can be taken to increase security in vulnerable areas with Risk Management Office and Property & Buildings (e.g. swipe card access, panic buttons)?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 7: Employee Relations

Is information about equal opportunity displayed in your Department where staff and students can see it?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are staff, including casual staff, briefed about their obligations under their employment contracts, including the duties set out in their position description, the policies and procedures of the University set out in the PPP, and the University statutes and regulations?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are all Position Descriptions reviewed and updated annually?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are managers aware that in any case where performance standards of a staff member are unsatisfactory or where actions of an employee are unacceptable, the Head of Department must be notified so that he/she can take advice as soon as possible from the appropriate Human Resources consultant?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 8: Financial Operations

Are Departmental procedures in place to ensure the University complies with taxation legislation in respect of GST, FBT, Deductible Gift Recipient registration, PAYG Withholding and superannuation?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Is the ABN status of suppliers checked prior to contracting for goods or services?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Have all staff who process accounts received training in the THEMIS system?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are procedures in place for purchasing and disposing of assets to ensure that the best price is obtained and no improper benefit accrues to individuals or companies?	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 9: Governance, Decision-Making & Record Keeping

Are meeting papers sent to committee members no later than a week prior to meetings?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are all staff briefed on the procedures in the Records Management Policy and Procedures Manual at www.unimelb.edu.au/ExecServ/RMmanual/	<input type="checkbox"/> YES <input type="checkbox"/> NO
Does your Departments keep details of: <ul style="list-style-type: none"> • publications produced? • major promotional, public relations & marketing activities? • changes in prices, fee charges, rates and levies charged? • major external reviews? • overseas visits, other than for research or other academic purposes? 	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 10: Negligence/Duty of Care

<p>Are records kept of:</p> <ul style="list-style-type: none"> • briefings given to students on safety • students who attended safety briefings • written material on safety distributed to students? 	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>Does the Department annually obtain from principal investigators and subject coordinators information regarding the licences and permits they hold?</p> <p>e.g. professional registration, hazardous goods licences, licences/permits to use animals or plants in teaching and research, licences/permits for the operation of other high-risk machinery such as lasers and x-ray units.</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>Are all staff and students travelling overseas for University-related purposes briefed on the following: the Overseas Travel Policy, DFAT warnings, the Off-campus Work & Travel Policy, insurance?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO

Section 11: Research Ethics & Practice

<p>Are researchers briefed about the importance of adhering to the University Code of Conduct for Research?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>Does your Department provide ethical training for all students before they embark on research and other activities involving human participants?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA
<p>If staff in your Department engage in teaching or research involving animals, are there procedures in place to ensure that:</p> <ul style="list-style-type: none"> • appropriate approval has been obtained through the Animal Welfare Committee? • staff have attended training in Laboratory Animal Science and Animal Welfare? • the requirement for environmental licences and permits associated with these activities is considered? 	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA

Section 12: Safety & Environment

<p>Are all new staff inducted in: OHS procedures; evacuation procedures; special safety procedures; First Aid protocols; incident forms; and the location of First Aid posts?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>Have any academic staff in your Department undertaken risk assessment training?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>Is an up-to-date register of all hazardous substances maintained?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA