Workflow & HPRM
User Manual

For complaint reporting and handling by SAU

Archives & Records Management Services
http://sydney.edu.au/arms
recordsonline@sydney.edu.au
+61 2 9036 9537 (x69537)

Last Updated: June 2017
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1 BACKGROUND AND AUDIENCE

HPRM (TRIM) is the backend of the University’s corporate recordkeeping system known as Records Online. It has been maintained by Archives and Records Management Services since 2000.

In late 2016, following the successful implementation of the case reporting and handling system recommended by the Vice-Chancellor’s Academic Misconduct and Plagiarism Taskforce, the DVC Registrar’s division requested a similar system to be designed and implemented to facilitate the student complaint and misconduct processes administered by the Student Affairs Unit (SAU).

The system has been designed with the requirements drawn from the University of Sydney (Student Discipline) Rule 2016, and the Student Complaints Procedure 2015, with an aim to support the Student Affairs Unit (SAU) team and other University staff member in case recordkeeping, streamlining the handling procedures and allow for analytic reporting of case data. The system went live in the beginning of March 2017.

This manual provides an overview of the recordkeeping system and the detailed instructions for the SAU and the relevant University stakeholders to effectively use this system.

While of general interest to all staff of the University, this manual will be of most use to:

- The members of SAU.
- DVC Registrar and his nominees.
- HR Case Managers.
- Office of General Counsel.
- Other general administrative staff members of the University.
- The Workflow support officers in Records Management Services.
2 SYSTEM REQUIREMENTS AND ACCESS

2.1 Software requirements

The online referral form and recordkeeping systems are powered by the HP Records Manager (HPRM or TRIM) native application. While it is not essential to use this software, it is recommended for the SAU team.

If you are using a Mac, you may have to use the TRIM Citrix interface or Records Online web interface (see section 2.2 below).

Please contact the Records Online Help Desk at recordsonline@sydney.edu.au or 9036 9537 (x69537) if you require assistance or wish to have TRIM installed on your computer.

2.2 Web applications and systems access

The online case referral form and recordkeeping workflow system have been configured for use with Mozilla Firefox, Google Chrome and Microsoft’s Internet Explorer.

The Records Online Workflow Portal can be accessed:

Records related to individual cases, particularly those that have been concluded, can be accessed via TRIM or Records Online:

2.3 Off-campus access: VPN

If you are working off-campus and outside of the University’s fixed network, you will need to be logged in to the University’s Virtual Private Network (VPN) in order to access the recordkeeping system and any documents held therein.

To download and install the VPN client to access the University network while working remotely, please see the information provided on the ICT website.

2.4 Records Online user accounts

The relevant staff member from the DVC Registrar Portfolio, Student Affairs Unit, Workplace Relations, and Office of General Council are required to have an active Records Online/TRIM user profile. If you are not already a registered Records Online user, please request access via:
1. Login to the Self Service Portal on the Staff Intranet using your Unikey.
2. Click the ICT Services hyperlink.
3. Click the Unikey and Account Management hyperlink.
5. Once the required fields have been completed, select Order Now to submit the request.
To be able to participate in the system, you will need to have a valid Records Online user account, and be in the member of the respective groups outlined in section 2.5 below.

## 2.5 Access controls

In order to maintain the security and confidentiality of case records, the following access controls have been established:

**Groups that have access to all case workflows and records**

1. \{WF - SAU - DVCR Nominee\} is a group that consists of staff members who make case decisions on behalf of the DVC Registrar.
2. \{WF - SAU - Manager\} is a group that consists of staff members who act in the role of the Manager, SAU.
3. \{WF – SAU – Case Triage\} is a group is charged with the responsibility of triaging the complaints lodged through the case reporting form.
4. \{WF – SAU – CMC\} is a group that consists of all SAU’s case managers’ who act for the Complainants.
5. \{WF – SAU – CMR\} is a group that consists of all SAU’s case managers’ who act for the Respondent.
6. \{WF - SAU - Investigators\} is a group that consists of members of staff who investigate cases as requested by the DVC Registrar.

**Groups that only have access to student complaint case referrals**

7. \{WF - SAU - Case Faculty Group\} consists of staff who review complaints relating to their specific faculty.
8. \{WF - SAU - Case HR Group\} consists of HR case managers who need to investigate cases referred to HR. They have access to all HR referred cases.

**Groups that have no access**

9. \{WF - SAU - Complainant\} is a system holding group that consists of system accounts for exception handling. There are no meaningful TRIM locations within this access group.

Whist Records Management Services will initiate a review of membership of all groups on a twice a year basis, the modification of membership needs the approval of the Director, Compliance & Student Affairs.

## 2.6 Retention of case records

The retention of case records is governed by the **NSW State Records Act 1998; GDA23-03.02.02** for student misconduct, and **GA28-02.19.01** or **GDA23-17.01.02** for complaints. These require all documentation related to workflow cases to be retained for a period of 6-7 years after the last action.
date. However, The University may wish to retain such records for a longer period if there is a compelling business requirement.
# 3 ADMINISTRATION OF CASE WORKFLOWS

## 3.1 Roles and system engagement

The following table provides an overview of key stakeholders, the functions they perform, and the way in which they engage with cases and the recordkeeping system.

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Engagement with system</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case initiators</td>
<td>A member of University staff or student with a valid Unikey who lodged a case using the TRIM web form.</td>
</tr>
<tr>
<td>Complainant</td>
<td>Receives email notifications regarding case lodgement, progress and determination.</td>
</tr>
<tr>
<td>Respondent</td>
<td>Respondent student receives email notifications regarding allegations and decisions.</td>
</tr>
<tr>
<td></td>
<td>Respondent staff member does not receive email notifications from this system currently.</td>
</tr>
<tr>
<td>CMC</td>
<td>Case Manager for Complainant within the Student Affairs Unit. They administer individual cases and process via the workflow portal.</td>
</tr>
<tr>
<td>CMR</td>
<td>Case Manager for Respondent within the Student Affairs Unit. They administer individual cases and process via the workflow portal.</td>
</tr>
<tr>
<td>Manger SAU</td>
<td>Receives case via email, and allocates case managers within the workflow portal.</td>
</tr>
<tr>
<td>Faculty or Business Unit Rep</td>
<td>Reviews cases via e-mail (recommended) or the workflow portal.</td>
</tr>
<tr>
<td>Registrar Appointed Investigators</td>
<td>Review and recommend cases via e-mail (recommended) or the workflow.</td>
</tr>
<tr>
<td>HR Case Management Group</td>
<td>Review and recommend cases via e-mail (recommended) or the workflow.</td>
</tr>
<tr>
<td>DVC Registrar</td>
<td>Receives email notifications.</td>
</tr>
<tr>
<td>DVC Registrar's Nominees</td>
<td>Review and make decision on cases via e-mail (recommended) or the workflow.</td>
</tr>
<tr>
<td>Records Management Services</td>
<td>Provides support and training related to the integrated referral and recordkeeping system.</td>
</tr>
</tbody>
</table>
## 3.2 Preliminary assessments and case outcomes

Depending on the preliminary assessment and conclusion in each case, one of the following outcomes will be formally recorded in accordance with the Academic Honesty in Coursework Policy 2015:

<table>
<thead>
<tr>
<th>Preliminary assessments</th>
<th>Available case outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case not proceeded with</td>
<td>Feedback</td>
</tr>
<tr>
<td></td>
<td>Frivolous</td>
</tr>
<tr>
<td></td>
<td>No/insufficient evidence</td>
</tr>
<tr>
<td></td>
<td>Vexatious</td>
</tr>
<tr>
<td></td>
<td>Withdrawn</td>
</tr>
<tr>
<td>Allegation Against a staff member</td>
<td>Clause 9</td>
</tr>
<tr>
<td></td>
<td>Clause 10</td>
</tr>
<tr>
<td></td>
<td>Clause 11</td>
</tr>
<tr>
<td></td>
<td>Clause 309c</td>
</tr>
<tr>
<td></td>
<td>Indictable</td>
</tr>
<tr>
<td></td>
<td>Not Proceeded</td>
</tr>
<tr>
<td>Allegation against a student</td>
<td>No further actions</td>
</tr>
<tr>
<td></td>
<td>Proceed to penalty (DVCR)</td>
</tr>
<tr>
<td></td>
<td>Proceed to penalty (VC)</td>
</tr>
<tr>
<td>Indictable offence by student</td>
<td>No further actions</td>
</tr>
<tr>
<td></td>
<td>Proceed to penalty (DVCR)</td>
</tr>
<tr>
<td></td>
<td>Proceed to penalty (VC)</td>
</tr>
<tr>
<td>Admin or faculty matter</td>
<td>Not a valid complaint and no further actions, valid complaint and corrective actions taken.</td>
</tr>
<tr>
<td>Refer to EI or HDRI</td>
<td>Refer to EI or HDRI.</td>
</tr>
</tbody>
</table>
3.3 Workflow actions by stakeholder and step

The following tables set out workflow steps to be completed, respectively, by relevant staff members from the DVC Registrar Portfolio, Student Affairs Unit, Workplace Relations, and Office of General Council. Instructions specific to each step are provided in Chapter 8 of the manual, although they can be accessed here by holding CTRL and clicking on the name of the relevant step.

1. Workflow step completed by Case Triage

Step names

1 SAU Admin - Case verification and triage
2. Workflow steps completed by Case Manager for Complainant (CMC)

Step names

3 CMC to assess the complaint

4CA – Complaint dismissed by DVC Registrar – CMC to implement decision

4E CMC to contact OEl

7B CMC to note case outcome and advice the complainant - Faculty or Admin investigation

7CB - Proceed to Investigation - CMC to note

7D CMC to note the outcome and notifying complainant

11A - Not found by Police - CMC to note and communicate with complainant

11CA - No further actions - CMC to implement decision

12 CMC to close off a case that was not proceeded

12 CMC to close off the case
3. **Workflow steps completed by Case Manager for Respondent (CMR)**

**Step names**

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4B</td>
<td>CMR to co-ordinate the investigation - Faculty or Admin</td>
</tr>
<tr>
<td>4D</td>
<td>CMR to refer a case to HR</td>
</tr>
<tr>
<td>5C</td>
<td>CMR to receive and review complaint</td>
</tr>
<tr>
<td>6B</td>
<td>CMR to review the outcome of investigation</td>
</tr>
<tr>
<td>6D</td>
<td>CMR to assess action and investigation outcome by HR</td>
</tr>
<tr>
<td>6F</td>
<td>- Possible Indictable Offence (Student) - CMR to liaise with OGC</td>
</tr>
<tr>
<td>7C</td>
<td>- CMR Implement DVC Registrar’s decision</td>
</tr>
<tr>
<td>8F</td>
<td>- CMR to note a non-indictable decision by OGC</td>
</tr>
<tr>
<td>9</td>
<td>CMR to receive investigation outcome</td>
</tr>
<tr>
<td>9A</td>
<td>- Not Found - CMR to note the outcome and prepare communication</td>
</tr>
<tr>
<td>9B</td>
<td>- Withdrawn by complainant - CMR to action</td>
</tr>
<tr>
<td>9CA</td>
<td>No further actions - CMR to implement case decision</td>
</tr>
<tr>
<td>9CC</td>
<td>Proceed to penalty (DVCR) - CMR to implement</td>
</tr>
<tr>
<td>9CD</td>
<td>Proceed to penalty (VC) - CMR to action</td>
</tr>
<tr>
<td>9F</td>
<td>- CMR to action on a prosecuted case outcome from OGC</td>
</tr>
<tr>
<td>10CA</td>
<td>No further actions - CMR to draft communication to respondent</td>
</tr>
<tr>
<td>10F</td>
<td>CMR to record DVC Registrar’s penalty decision</td>
</tr>
<tr>
<td>12</td>
<td>CMR to close off the case</td>
</tr>
</tbody>
</table>
4. Workflow steps completed by DVC Registrar’s Nominees

Step names

4C – Decision Required - DVCR’s Nominee to provide a case direction

9CB – Decision Required - DVC’s Nominee to determine an investigated case

11B Indictable Offence withdrawn - DVCR’s Nominee to provide a case direction
5. Workflow steps completed by Manager SAU

Step names

2 Manager SAU to allocate a CMC

3B Faculty or Admin matter - Manager, SAU to allocate a CMR

3D Manager SAU - allocate a CMR for a complaint against a staff member

5C - Manager SAU to allocate a CMR for student respondent

5F - Possible Indictable Offence (Student) - SAU Manager to allocate a CMR
6. Workflow steps completed by OGC or investigators including Indictable case

**Step names**

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>6Ce</td>
<td>Possible Student Misconduct - Letter required to inform the interview with DVCR</td>
</tr>
<tr>
<td>6C</td>
<td>Possible Student Misconduct - Letter required to inform the interview with DVCR</td>
</tr>
<tr>
<td>7Fe</td>
<td>ACTION REQUIRED - Student Complaint - possible indictable - OGC to provide case direction</td>
</tr>
<tr>
<td>7F</td>
<td>ACTION REQUIRED - Student Complaint - possible indictable - OGC to provide case direction</td>
</tr>
<tr>
<td>8CD</td>
<td>Action Required - DVC Registrar would like you to investigate a complaint case</td>
</tr>
<tr>
<td>8C</td>
<td>ACTION REQUIRED - DVC Registrar would like you to investigate a complaint case</td>
</tr>
<tr>
<td>8Fe</td>
<td>Action Required - OGC to provide outcome of an indictable case</td>
</tr>
<tr>
<td>8F</td>
<td>Action Required - OGC to provide outcome of an indictable case</td>
</tr>
</tbody>
</table>
7. Workflow steps completed by Faculty or Business Unit Rep

Step names

3 CMC to assess the complaint

4CA – Complaint dismissed by DVC Registrar – CMC to implement decision
8. Workflow step completed by Case Management HR

Step names

5D HR Case Manager to investigate a student complaint case referred by SAU
3.4 Workflow Naming Convention

The example Student Complaints workflow name
SC A Smith 1234567 - M Doe 123456789 - IFVH 201706121126 700
is broken down as follows:

<table>
<thead>
<tr>
<th>SC</th>
<th>A = Adult</th>
<th>Smith</th>
<th>1234567</th>
<th>M = Minor</th>
<th>Doe</th>
<th>123456789</th>
<th>IFVH</th>
<th>201706121126</th>
<th>700</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student</td>
<td>Complaint</td>
<td>A = Adult</td>
<td>SID / Last Name</td>
<td>A = Adult</td>
<td>M = Minor</td>
<td>SID / Staff Number</td>
<td>M = Minor</td>
<td>Last Name</td>
<td>X = Anonymous</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Complainant</td>
<td>SID / Staff Number</td>
<td>Respondent</td>
<td>Last Name</td>
<td>Complaint Category Code</td>
<td>Date Complaint Was Lodged</td>
<td>Complete Case Score</td>
<td></td>
</tr>
</tbody>
</table>

All Complaint Category Codes are listed in the following table.

<table>
<thead>
<tr>
<th>Category</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sexual and Indecent Assault</td>
<td>ISVH</td>
</tr>
<tr>
<td>Assault</td>
<td>IAVH</td>
</tr>
<tr>
<td>Stealing</td>
<td>ILVH</td>
</tr>
<tr>
<td>Drug Related</td>
<td>IDVH</td>
</tr>
<tr>
<td>Fraud</td>
<td>IFVH</td>
</tr>
<tr>
<td>Sexual Harassment</td>
<td>MSHH</td>
</tr>
<tr>
<td>Harassment</td>
<td>MHH</td>
</tr>
<tr>
<td>Stalking</td>
<td>MSH</td>
</tr>
<tr>
<td>Bullying</td>
<td>MBH</td>
</tr>
<tr>
<td>Discrimination</td>
<td>MDH</td>
</tr>
<tr>
<td>Breach of Privacy</td>
<td>MPH</td>
</tr>
<tr>
<td>Unfair Treatment</td>
<td>AUM</td>
</tr>
<tr>
<td>Teaching Quality</td>
<td>ATM</td>
</tr>
<tr>
<td>Staff Conduct</td>
<td>ACM</td>
</tr>
<tr>
<td>Admin of Faculty Decision</td>
<td>PAL</td>
</tr>
<tr>
<td>Campus Faculties</td>
<td>PCL</td>
</tr>
</tbody>
</table>
4 WORKING IN THE WORKFLOW PORTAL

4.1 Important note for email task recipients

For ease of access, HR Case Managers, Investigators and Faculty or Business Reps are strongly encouraged to access cases and complete their steps by way of the system generated e-mails sent directly to their staff e-mail accounts. However, it is also possible to do so via the workflow portal. Consequently, instructions for each mode of access are provided in section 2.2 of this manual.

4.2 Workflow login

Access to the workflow is available only to registered Records Online users and as set out in Section 2.5 above. Users will need to authenticate their access using their Unikey credentials.

The workflow portal can be accessed at the following address: https://recordsonline2.sydney.edu.au/WorkflowPortal/Content/InTray.aspx.

We recommend that faculty administrators bookmark this link. Workflow users will also receive an e-mail notification at 3:00pm each day reminding them of the workflow items currently in their team and personal in-trays (see image below). The reminder e-mail also includes a link to the workflow portal, which users can also use to access the workflow portal.

4.3 Workflow portal in-trays

Once users have logged in to the portal, they are taken to the In-Tray page of the workflow portal. Here, you will find the My Items and Team Items tabs, which are the two in-trays faculty administrators will be required to work with.

Please note that for this particular process, we are not using the suspension or delegation functions so you should not have any items under your Suspended Items or Delegated Items tabs.
Please note the following features in the Team Items in-tray in the following image:

1. It is recommended that you set the Page Size to display 5000 items.
2. You may limit the display items only relating to the Student Misconduct Academic Case Handling template – select it from the drop down menu.
3. The Text Filter box enables you to limit the items displayed for a specific SID, Unit of Study or Job Number. To do so, type the value into the Text Filter box and then click the Reload button.
4. Click Select All to select all items in your My Items or Team Items in-trays.
5. Click Select All and then Acquire Selected to transfer all cases from the team in-tray to your own.
6. Click Clear All to deselect all items.
7. In-trays can be sorted by selected the column titles: Status, Priority, Activity Due, Activity Name, and Workflow Name.
8. The step at which each case is at is listed in the Activity Name column. For example, new cases will be listed as 1 SAU Admin - Case verification and triage.
9. Click Acquire/Open to open a case from the Team Items in-tray for immediate action or Acquire to transfer a single item to your My Items in-tray for action at a later time.

Please note the following features specific to the My Items in-tray in the following image:

1. Click Open to action the relevant step.
2. Click Select All and then Release Selected to return all cases to the Team Items in-tray.
3. Click Release to return individual cases to the Team Items in-tray.
4. Click Release Selected after selecting one or more check boxes in the far left-hand column of the My Items in-tray to release a specified set of cases to the Team Items in-tray.
4.4 Individual case workflow items

After you have elected to open a case, the individual workflow item page will be displayed (see image below). The elements faculty administrators will use most are as follows:

The INSTRUCTIONS tab contains detailed, step-by-step instructions for completing the tasks required at each stage of the workflow process.

There is an in-built DOCUMENT UPLOADER that enables you to attach more documentation to the workflow as the case progresses.
Beneath the document uploader is the WORKFLOW DOCUMENTS pane, which lists all documents associated with the case workflow. Please note the following in relation to the following image:

1. The first icon indicates the file format of each of the workflow documents.
2. Select the icon to view the document’s record metadata details.
3. Select the icon to open the document in the TRIM desktop application.
4. Select the icon to open the documents in the web interface.
5. Select the icon to disassociate a document with the workflow. Please note, though, that this only deletes the document from the workflow item. It will still be saved in the relevant case folder in TRIM.

At the bottom of the workflow item page as shown above, please note the following:

6. **Mandatory Nomination** fields are included in most workflow steps to be completed by administrators.
7. Select the icon in the bottom right-hand side of the workflow item page to view the notes associated with a case in the workflow portal.
8. Select the icon to complete the step/task.
9. Select the button to save any comments you have added to the workflow comments pane before returning to the My Items in-tray.
10. Select the button to exit the task page to return to the My Items in-tray.
The CREATE AND REFERENCE RECORDS tab stores approved letter templates that can be downloaded and subsequently modified before being sent to students from both within the system and on your PC.

The WORKFLOW NOTES tab provides an alternative way to add case notes within and between workflow steps. Please note:
1. Select the icon in the bottom right-hand side of the workflow item page to view the notes associated with a case in the workflow portal.
2. Add notes via the free-text box under Add Notes to Workflow.
3. Click the icon to save your notes.

4.5 Uploading documents to the workflow

To associate new documents with a case via the workflow portal:
1. Select Choose File (or Browse) and then the relevant document on your computer.
2. Name the document in the New Document Title field (this should be the same name as the file you are uploading).
4. Select the magnifying glass icon next to the draft letter and open the downloaded file.
5. Check that it is the correct document and free from errors. If you identify errors, repeat the previous steps taken when creating the letter.
Creating letters from approved templates

Creating the draft letter from a template saved locally
1. Open the template saved on your hard drive.
2. Copy the relevant comments into the appropriate section of the template. Please also ensure you check the letter for errors, consistency of style, and clarity.
3. Save the letter to your hard drive with a title mirroring the title of the template (PDF format preferred but not essential).
4. Upload the letter to the workflow using the document uploader (instructions at 4.5 above).
5 SCENARIOS AND WORKFLOW STEPS

5.1 Complaint against Faculty decision or University operations

Student Complaint Against A Faculty or Business Process

2 Manager SAU to allocate a CMC

2e - A complaint lodged for you - Case Manager allocated - email

3 CMC to assess the complaint

Referr to Faculty

YES

3B Faculty or Admin matter - Manager, SAU to allocate a CMR

4B CMR to co-ordinate the investigation - Faculty or Admin

4Be - FYI Case has been referred for investigation - email notification

5Be - Action Required - Student Complaint - Faculty to review and respond - email request

CMR to review the outcome of investigation

7Be Faculty or Admin cases - your case outcome

7C CMC to note case outcome and advise the complainant - Faculty or Admin investigation

12 CMC to close off the case

END
<table>
<thead>
<tr>
<th>Step</th>
<th>Complete within</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SAU Admin - Case verification and triage</td>
<td>1 day</td>
</tr>
<tr>
<td>FYI only - A complaint concerning you as the complainant has been lodged with SAU</td>
<td></td>
</tr>
<tr>
<td>2 Manager SAU to allocate a CMC</td>
<td>1 day</td>
</tr>
<tr>
<td>3 CMC to assess the complaint</td>
<td>10 days</td>
</tr>
<tr>
<td>3B Faculty or Admin matter - Manager, SAU to allocate a CMR</td>
<td>1 day</td>
</tr>
<tr>
<td>4B CMR to co-ordinate the investigation - Faculty or Admin</td>
<td>2 days</td>
</tr>
<tr>
<td>3B Faculty or Admin matter - Manager, SAU to allocate a CMR</td>
<td>1 day</td>
</tr>
<tr>
<td>4B CMR to co-ordinate the investigation - Faculty or Admin</td>
<td>2 days</td>
</tr>
<tr>
<td>4be - FYI Case has been referred for investigation - email notification</td>
<td></td>
</tr>
<tr>
<td>5Be - Action Required - Student Complaint - Faculty to review and respond - email request</td>
<td>30 days</td>
</tr>
<tr>
<td>5B - Student Complaint - Faculty or business unit to review and respond</td>
<td></td>
</tr>
<tr>
<td>6B CMR to review the outcome of investigation</td>
<td>5 days</td>
</tr>
<tr>
<td>7B CMC to note case outcome and advice the complainant - Faculty or Admin investigation</td>
<td>3 days</td>
</tr>
<tr>
<td>7be Faculty or Admin cases - your case outcome</td>
<td></td>
</tr>
<tr>
<td>12 CMC to close off the case</td>
<td>10 days</td>
</tr>
<tr>
<td>Total days (maximum)</td>
<td>66 days</td>
</tr>
</tbody>
</table>
5.2 Complaints against Staff Conduct

Complaint Against A Staff Member

2 Manager SAU to allocate a CMC

2e - A complaint lodged for you - Case Manager allocated - email

3 CMC to assess the complaint

Refer to HR Case Management

YES

3D Manager SAU - allocate a CMR for a complaint against a staff member

4D CMR to refer a case to HR

4de - FYI - Your complaint has been referred for investigation - email

5de - FYI - Manager, Case Management - a new student complaint has been referred

5D HR Case Manager to investigate a student complaint case referred by SAU

4D CMR to assess action and investigation outcome

7D CMC to note the outcome and notifying complainant

7de - Notifying student the outcome of the complaint referred to HR

12 CMC to close off the case

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<tr>
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<td>10 days</td>
</tr>
<tr>
<td>3D Manager SAU - allocate a CMR for a complaint against a staff member</td>
<td>1 day</td>
</tr>
<tr>
<td>4D CMR to refer a case to HR</td>
<td>2 days</td>
</tr>
<tr>
<td>4de - FYI - Your complaint has been referred for investigation - email</td>
<td></td>
</tr>
<tr>
<td>5De - FYI - Manager, Case Management - a new student complaint has been referred</td>
<td></td>
</tr>
<tr>
<td>5D HR Case Manager to investigate a student complaint case referred by SAU</td>
<td>60 days</td>
</tr>
<tr>
<td>6D CMR to assess action and investigation outcome by HR</td>
<td>5 days</td>
</tr>
<tr>
<td>7D CMC to note the outcome and notifying complainant</td>
<td>3 days</td>
</tr>
<tr>
<td>7de - Notifying student the outcome of the complaint referred to HR</td>
<td></td>
</tr>
<tr>
<td>12 CMC to close off the case</td>
<td>10 days</td>
</tr>
<tr>
<td>Total days (maximum)</td>
<td>93 days</td>
</tr>
</tbody>
</table>
5.3 Complaint against student (non-indictable but investigated) – penalty applied

Complaint Against Students

[Diagram of the complaint process against students showing decision-making steps, including notifications, investigation outcomes, and penalties applied.]

- Decision Required
  - Proceed to Investigation
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<table>
<thead>
<tr>
<th>Step</th>
<th>Complete within</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SAU Admin - Case verification and triage</td>
<td>1 day</td>
</tr>
<tr>
<td>FYI only - A complaint concerning you as the complainant has been lodged with SAU</td>
<td></td>
</tr>
<tr>
<td>2 Manager SAU to allocate a CMC</td>
<td>1 day</td>
</tr>
<tr>
<td>3 CMC to assess the complaint</td>
<td>10 days</td>
</tr>
<tr>
<td>4C - Decision Required - DVCR’s Nominee to provide a case direction</td>
<td>2 days</td>
</tr>
<tr>
<td>5Ce - Manager SAU to allocate a CMR for student respondent</td>
<td></td>
</tr>
<tr>
<td>5C - Manager SAU to allocate a CMR for student respondent</td>
<td>1 day</td>
</tr>
<tr>
<td>6C - Possible Student Misconduct - Letter required to inform the interview with DVCR</td>
<td>3 days</td>
</tr>
<tr>
<td>5C CMR to receive and review complaint</td>
<td>2 days</td>
</tr>
<tr>
<td>6Cs - Student Respondent - DVC Registrar would like to meet with you - email notification</td>
<td></td>
</tr>
<tr>
<td>7C - CMR Implement DVC Registrar’s decision</td>
<td>12 days</td>
</tr>
<tr>
<td>7CBs - Proceed to investigation - notifying respondent student</td>
<td></td>
</tr>
<tr>
<td>7CBe - Proceed to Investigation - CMC to note</td>
<td></td>
</tr>
<tr>
<td>8Cbe Complainant - your complaint has been referred to Investigation</td>
<td></td>
</tr>
<tr>
<td>8CD - ACTION REQUIRED - DVC Registrar would like you to investigate a complaint case, or</td>
<td>40 days</td>
</tr>
<tr>
<td>8CDe - ACTION REQUIRED - DVC Registrar would like you to investigate a complaint case</td>
<td></td>
</tr>
<tr>
<td>9 CMR to receive investigation outcome</td>
<td>2 days</td>
</tr>
<tr>
<td>9CB - Decision Required - DVC’s Nominee to determine an investigated case</td>
<td>5 days</td>
</tr>
<tr>
<td>9CD Proceed to penalty (VC) - CMR to action, or</td>
<td>3 days</td>
</tr>
<tr>
<td>9CC Proceed to penalty (DVCR) - CMR to implement</td>
<td></td>
</tr>
<tr>
<td>9cds Email respondent Penalty applied (VC), or</td>
<td></td>
</tr>
<tr>
<td>9ccs email respondent with the outcome</td>
<td></td>
</tr>
<tr>
<td>10cde Proceed to penalty (VC) - email notification to complainant, or</td>
<td></td>
</tr>
<tr>
<td>10cce Proceed to penalty (DVCR) - email notification to Complainant</td>
<td></td>
</tr>
<tr>
<td>12 CMR to close off the case</td>
<td>10 days</td>
</tr>
<tr>
<td><strong>Total days (maximum)</strong></td>
<td>92 days</td>
</tr>
</tbody>
</table>
### 5.4 Complaint against student (non-indictable, not investigated) – penalty applied

<table>
<thead>
<tr>
<th>Step</th>
<th>Complete within</th>
</tr>
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<tr>
<td>5Ce - Manager SAU to allocate a CMR for student respondent</td>
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</tr>
<tr>
<td>5C - Manager SAU to allocate a CMR for student respondent</td>
<td>1 day</td>
</tr>
<tr>
<td>6Ce - Possible Student Misconduct - Letter required to inform the interview with DVCR</td>
<td></td>
</tr>
<tr>
<td>6C - Possible Student Misconduct - Letter required to inform the interview with DVCR</td>
<td>3 days</td>
</tr>
<tr>
<td>6Cs - Student Respondent - DVC Registrar would like to meet with you - email notification</td>
<td></td>
</tr>
<tr>
<td>7C - CMR Implement DVC Registrar’s decision</td>
<td>12 days</td>
</tr>
<tr>
<td>9CD Proceed to penalty (VC) - CMR to action, or 9CC Proceed to penalty (DVCR) - CMR to implement</td>
<td>3 days</td>
</tr>
<tr>
<td>9cds Email respondent Penalty applied (VC), or 9ccs email respondent with the outcome</td>
<td></td>
</tr>
<tr>
<td>10code Proceed to penalty (VC) - email notification to complainant, or 10cce Proceed to penalty (DVCR) - email notification to Complainant</td>
<td></td>
</tr>
<tr>
<td>12 CMR to close off the case</td>
<td>10 days</td>
</tr>
<tr>
<td><strong>Total days (maximum)</strong></td>
<td><strong>45 days</strong></td>
</tr>
</tbody>
</table>
### 5.5 Complaint against student - No further actions

<table>
<thead>
<tr>
<th>Step</th>
<th>Complete within</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SAU Admin - Case verification and triage</td>
<td>1 day</td>
</tr>
<tr>
<td>FYI only - A complaint concerning you as the complainant has been lodged with SAU</td>
<td></td>
</tr>
<tr>
<td>2 Manager SAU to allocate a CMC</td>
<td>1 day</td>
</tr>
<tr>
<td>3 CMC to assess the complaint</td>
<td>10 days</td>
</tr>
<tr>
<td>4CA – Complaint dismissed by DVC Registrar – CMC to implement decision</td>
<td>3 days</td>
</tr>
<tr>
<td>5ca - A complaint case concerning you - case outcome</td>
<td>1 day</td>
</tr>
<tr>
<td>12 CMR to close off the case</td>
<td>10 days</td>
</tr>
<tr>
<td><strong>Total days (maximum)</strong></td>
<td><strong>26 days</strong></td>
</tr>
</tbody>
</table>
### 5.6 Complaint against student (indictable) - found and penalty applied

<table>
<thead>
<tr>
<th>Step</th>
<th>Complete within</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SAU Admin - Case verification and triage</td>
<td>1 day</td>
</tr>
<tr>
<td>FYI only - A complaint concerning you as the complainant has been lodged with SAU</td>
<td></td>
</tr>
<tr>
<td>2 Manager SAU to allocate a CMC</td>
<td>1 day</td>
</tr>
<tr>
<td>3 CMC to assess the complaint</td>
<td>10 days</td>
</tr>
<tr>
<td>4C - Decision Required - DVCR's Nominee to provide a case direction</td>
<td>2 days</td>
</tr>
<tr>
<td>5Ce - Manager SAU to allocate a CMR for student respondent</td>
<td></td>
</tr>
<tr>
<td>5C - Manager SAU to allocate a CMR for student respondent</td>
<td>1 day</td>
</tr>
<tr>
<td>6C - Possible Student Misconduct - Letter required to inform the interview with DVCR</td>
<td>3 days</td>
</tr>
<tr>
<td>6Cs - Student Respondent - DVC Registrar would like to meet with you - email notification</td>
<td></td>
</tr>
<tr>
<td>7C - CMR Implement DVC Registrar's decision</td>
<td>12 days</td>
</tr>
<tr>
<td>4Fe - FYI - A Possible Indictable Offence - DVC Registrar to note</td>
<td></td>
</tr>
<tr>
<td>5F - Possible Indictable Offence (Student) - SAU Manager to allocate a CMR</td>
<td>1 day</td>
</tr>
<tr>
<td>6F - Possible Indictable Offence (Student) - CMR to liaise with OGC</td>
<td>2 days</td>
</tr>
<tr>
<td>7F ACTION REQUIRED - Student Complaint - possible indictable - OGC to provide case direction</td>
<td>5 days</td>
</tr>
<tr>
<td>7f FYI A complaint case concerning you has been referred for investigation</td>
<td></td>
</tr>
<tr>
<td>8F - Action Required - OGC to provide outcome of an indictable case</td>
<td>90 days</td>
</tr>
<tr>
<td>9F - CMR to action on a prosecuted case outcome from OGC</td>
<td>5 days</td>
</tr>
<tr>
<td>9Fs - Respondent student to be notified of meeting is required with DVCR</td>
<td></td>
</tr>
<tr>
<td>10F CMR to record DVC Registrar’s penalty decision</td>
<td>5 days</td>
</tr>
<tr>
<td>9CD Proceed to penalty (VC) - CMR to action, or 9CC Proceed to penalty (DVCR) - CMR to implement</td>
<td>3 days</td>
</tr>
<tr>
<td>9cd Email respondent Penalty applied (VC), or 9ccs email respondent with the outcome</td>
<td></td>
</tr>
<tr>
<td>10cde Proceed to penalty (VC) - email notification to complainant, or 10cce Proceed to penalty (DVCR) - email notification to Complainant</td>
<td></td>
</tr>
<tr>
<td>12 CMR to close off the case</td>
<td>10 days</td>
</tr>
<tr>
<td>Total days (maximum)</td>
<td>153 days</td>
</tr>
</tbody>
</table>
## 5.7 Complaint against student (indictable) - withdrawn and penalty applied

<table>
<thead>
<tr>
<th>Step</th>
<th>Complete within</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SAU Admin - Case verification and triage</td>
<td>1 day</td>
</tr>
<tr>
<td>FYI only - A complaint concerning you as the complainant has been lodged with SAU</td>
<td></td>
</tr>
<tr>
<td>2 Manager SAU to allocate a CMC</td>
<td>1 day</td>
</tr>
<tr>
<td>3 CMC to assess the complaint</td>
<td>10 days</td>
</tr>
<tr>
<td>4Fe - FYI - A Possible Indictable Offence - DVC Registrar to note</td>
<td></td>
</tr>
<tr>
<td>5F - Possible Indictable Offence (Student) - SAU Manager to allocate a CMR</td>
<td>1 day</td>
</tr>
<tr>
<td>6F - Possible Indictable Offence (Student) - CMR to liaise with OGC</td>
<td>2 days</td>
</tr>
<tr>
<td>7F ACTION REQUIRED - Student Complaint - possible indictable - OGC to provide case direction</td>
<td>5 days</td>
</tr>
<tr>
<td>7f FYI - A complaint case concerning you has been referred for investigation</td>
<td></td>
</tr>
<tr>
<td>8F - Action Required - OGC to provide outcome of an indictable case</td>
<td>90 days</td>
</tr>
<tr>
<td>9B - Withdrawn by complainant - CMR to action</td>
<td>3 days</td>
</tr>
<tr>
<td>10Be - FYI - Complainant Withdrawn from indictable offence - DVC Registrar to note</td>
<td></td>
</tr>
<tr>
<td>11Be - You have withdrawn your complaint</td>
<td></td>
</tr>
<tr>
<td>11Be Action Required - DVC's Nominee to direct an Indictable Offence withdrawn case</td>
<td>20 days</td>
</tr>
<tr>
<td>5C CMR to receive and review complaint</td>
<td>2 days</td>
</tr>
<tr>
<td>6C - Student Respondent - DVC Registrar would like to meet with you - email notification</td>
<td></td>
</tr>
<tr>
<td>7C - CMR Implement DVC Registrar’s decision</td>
<td>12 days</td>
</tr>
<tr>
<td>7CBs - Proceed to investigation - notifying respondent student</td>
<td></td>
</tr>
<tr>
<td>7CBe - Proceed to Investigation - CMC to note</td>
<td></td>
</tr>
<tr>
<td>8Cbe Complainant - your complaint has been referred to Investigation</td>
<td></td>
</tr>
<tr>
<td>8CD - ACTION REQUIRED - DVC Registrar would like you to investigate a complaint case, or</td>
<td>40 days</td>
</tr>
<tr>
<td>8CDe - ACTION REQUIRED - DVC Registrar would like you to investigate a complaint case</td>
<td></td>
</tr>
<tr>
<td>9 CMR to receive investigation outcome</td>
<td>2 days</td>
</tr>
<tr>
<td>9CB - Decision Required - DVC’s Nominee to determine an investigated case</td>
<td>5 days</td>
</tr>
<tr>
<td>9CD Proceed to penalty (VC) - CMR to action, or</td>
<td></td>
</tr>
<tr>
<td>9CC Proceed to penalty (DVCR) - CMR to implement</td>
<td>3 days</td>
</tr>
<tr>
<td>9cds Email respondent Penalty applied (VC), or</td>
<td></td>
</tr>
<tr>
<td>9ccs email respondent with the outcome</td>
<td></td>
</tr>
<tr>
<td>Step</td>
<td>Complete within</td>
</tr>
<tr>
<td>------</td>
<td>----------------</td>
</tr>
<tr>
<td>10cde Proceed to penalty (VC) - email notification to complainant, or 10cde Proceed to penalty (DVCR) - email notification to Complainant</td>
<td></td>
</tr>
<tr>
<td>12 CMR to close off the case</td>
<td>10 days</td>
</tr>
</tbody>
</table>

| Total days (maximum) | 202 days |
## 6 ROLE GUIDES

### 6.1 CMC and CMR

<table>
<thead>
<tr>
<th>Steps and outcome</th>
<th>By</th>
<th>Duration</th>
<th>Email to complainant</th>
<th>Email to Respondent</th>
<th>Notes</th>
</tr>
</thead>
</table>
| **3 CMC to assess the complaint - Case not proceeded with** | CMC | 10 days | Only if the case is with a “Case not proceeded with” outcome. | No | This is a first time a case manager have been notified of a new case, it means your Manager has nominated you as the Case Manager for the Complainant. At this task you are required to:  
- Review the documentation.  
- Contact the complainant if necessary.  
- Complete a risk assessment.  
- Complete a recommendation.  
- Determine a complaint handling route for this case.  

This is a main case scenario diversion point as you are here to decide if the case needs to be handled by HR, OGC or it is a complaint or misconduct.  
Select “Case not proceeded with”, if you are of the view that the allegation has insufficient information or inappropriate basis for complaints processing, to complete the task, please adhere to the following:  
1. Email the complainant to inform them that the matter is to be referred to the Faculty.  
2. Email the complaint to the relevant Faculty. When the faculty responds provide the advice/outcome to the complainant.  
3. Upload all communications to the workflow using the **Document Uploader** (see section 4.5).  
4. Close the matter under the “case not proceeded with” option. |
<table>
<thead>
<tr>
<th>Steps and outcome</th>
<th>By</th>
<th>Duration</th>
<th>Email to complainant</th>
<th>Email to Respondent</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 CMC to assess the complaint - Indictable Offence (Student)</td>
<td></td>
<td></td>
<td>No</td>
<td>No</td>
<td>Select “Indictable Offence (Student)” if the nature of the complaint is sexual, indecent assault, or stealing and ought to be reported to the police etc. The case will then be forwarded to OGC for determination. A hold should be placed on the student’s transcript. When you complete this step with this outcome, an email will be sent to the DVC Registrar for information only, notifying him of the serious nature of this case, and it will be sent to OGC for assessment. Then the workflow will send an email to the Manager SAU to allocate a CMR, whom then needs to prepare the case and forward it to OGC for assessment.</td>
</tr>
<tr>
<td>3 CMC to assess the complaint - Allegation against a student (Misconduct)</td>
<td></td>
<td></td>
<td>No</td>
<td>No</td>
<td>Select “Allegation against a student (Misconduct)”, if the case is a complaint against a student’s conduct, and is such that could be seen as a form of student misconduct. When you complete this step, an email will be sent to the DVC Registrar’s nominee to determine if the case should be dismissed or the respondent student should be interviewed. Please ensure you have created and included a DVC Submission document before you complete this task. A hold should be placed on the student’s transcript.</td>
</tr>
<tr>
<td>3 CMC to assess the complaint - Allegation against a staff member</td>
<td></td>
<td></td>
<td>No</td>
<td>No</td>
<td>Select “Allegation against a staff member”, if the complaint is about the interpersonal behavior of a member of staff. After you have completed this step with this outcome, the case will then be forwarded to Manager SAU to nominate a CMR. The CMR will prepare the case for it to be dealt with by HR.</td>
</tr>
<tr>
<td>3 CMC to assess the complaint - Admin or Faculty matter</td>
<td></td>
<td></td>
<td>No</td>
<td>No</td>
<td>Select “Admin or Faculty matter”, if the complaint is against school and/or faculty decisions, teaching quality, unfair treatment, poor facility or poor administration of the University. After you have completed this step with this outcome, the case will then be</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>-------------------</td>
<td>----</td>
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<td>---------------------</td>
<td>-------</td>
</tr>
<tr>
<td>3 CMC to assess the complaint - Refer to EI or HDRI process</td>
<td>CMR</td>
<td>2 days</td>
<td>No</td>
<td>No</td>
<td>forwarded to Manager SAU to nominate a CMR. The CMR will prepare the case for it to be dealt with by the relevant business unit. Select “Refer to EI or HDRI process” if the complaint is made by a staff member concerning academic or research integrity issues that need prior triaging by the appropriate body before proceeding with a misconduct investigation. Click “EI or HDRI” to refer the case.</td>
</tr>
<tr>
<td>4B CMR to co-ordinate the investigation - Faculty or Admin</td>
<td>CMR</td>
<td>2 days</td>
<td>Yes (4be)</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>4CA – Complaint dismissed by DVC Registrar – CMC to implement decision</td>
<td>CMC</td>
<td>3 days</td>
<td>Yes (5cae)</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>4D CMR to refer a case to HR</td>
<td>CMR</td>
<td>2 days</td>
<td>Yes (4de)</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>4E CMC to contact OEI</td>
<td>CMC</td>
<td>20 days</td>
<td>No</td>
<td>No</td>
<td>You will need to lodge an EI or HDRI case.</td>
</tr>
<tr>
<td>5C CMR to receive and review complaint</td>
<td>CMR</td>
<td>2 days</td>
<td>No</td>
<td>Yes (6cs)</td>
<td>This is a step of dealing with a case that is potentially student misconduct, and when the DVC Registrar’s Nominee decides to interview the Respondent student, either at step 4C when a new case is on foot or at step 11B when an indictable offence has been withdrawn by the Complainant. Currently, no template is available from the workflow, you need to draft and send a letter to the Respondent student to attend a meeting set by the DVC’s Office or Nominee or Manager SAU. Remember to tick Flag to send in workflow, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow.</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>---------------------------------------------------------------------------------</td>
<td>------</td>
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<td>----------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>5CB CMR to receive and review complaint</td>
<td>CMR</td>
<td>2 days</td>
<td>No</td>
<td>Yes (6cs)</td>
<td>As the Case Manager for the Respondent Student, you are required to: - Read the case documentation and become familiar with the complaint case. - Provide support for the respondent as required. - Act as the interface between the possible investigation operation and SAU.</td>
</tr>
<tr>
<td>6B CMR to review the outcome of investigation</td>
<td>CMR</td>
<td>5 days</td>
<td>No</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>6D CMR to assess action and investigation outcome by HR</td>
<td>CMR</td>
<td>5 days</td>
<td>No</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>6F - Possible Indictable Offence (Student) - CMR to liaise with OGC</td>
<td>CMR</td>
<td>2 days</td>
<td>No</td>
<td>No</td>
<td>Need to nominate a staff member from OGC, who will then receive the next step after you.</td>
</tr>
<tr>
<td>7B CMC to note case outcome and advice the complainant - Faculty or Admin investigation</td>
<td>CMC</td>
<td>3 days</td>
<td>Yes (7be)</td>
<td></td>
<td>You need to draft an email outside of the workflow, as the generic email sent to the complainant after your step only tells the complainant student that the matter has been resolved. Your email needs to include the findings from the business units and outcome etc. You are required to save that email to the workflow using the document uploader before you completing this step. There will be an auto generated email to the Complainant. See 7be.</td>
</tr>
<tr>
<td>7C - CMR Implement DVC Registrar’s decision - No further actions</td>
<td>CMR</td>
<td>12 days</td>
<td>No</td>
<td>Yes (10cas)</td>
<td>You need to draft a letter to the Respondent student to inform them of the No further actions outcome. No template is available from the workflow at the moment.</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>-------------------</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7C - CMR Implement DVC Registrar’s decision - Proceed to investigation</td>
<td></td>
<td></td>
<td></td>
<td>Yes (7cbs)</td>
<td>You need to draft a letter to the Respondent student to inform them of the Proceed to investigation outcome. No template is available from the workflow at the moment. Once finalised save it to the workflow using the document uploader, and then tick Flag to send in workflow, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. An auto generated system email will be sent to the complainant after the CMC’s step – no need to send the student an email outside of the workflow.</td>
</tr>
<tr>
<td>7C - CMR Implement DVC Registrar’s decision - Proceed to penalty (DVCR)</td>
<td></td>
<td></td>
<td>Yes (10cce)</td>
<td>Yes (9ccts)</td>
<td>You need to draft and seek approval on a letter to the Respondent student with the outcome and penalty details outside of the workflow. No template is available from the workflow at the moment. Once the letter is approved, you need to save it to the workflow using the document uploader, and then tick Flag to send in workflow, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. An auto generated system email will be sent to the complainant after CMC’s step 10cce. Generally no further email sent to the complainant student is necessary.</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
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</tr>
<tr>
<td>7C - CMR Implement DVC Registrar’s decision - Proceed to penalty (VC)</td>
<td></td>
<td></td>
<td>Yes (10cde)</td>
<td>Yes (9cds)</td>
<td>You need to draft and seek approval on a letter to the Respondent student with the outcome and penalty details outside of the workflow. No template is available from the workflow at the moment. Once the letter is approved, you need to save it to the workflow using the document uploader, and then tick it against send in workflow, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. An auto generated system email will be sent to the complainant after CMC’s step 10cde. Generally no further email sent to the complainant student is necessary.</td>
</tr>
<tr>
<td>7CBe - Proceed to Investigation - CMC to note</td>
<td>CMC</td>
<td>2 days</td>
<td>Yes (8cbe)</td>
<td>No</td>
<td>Auto generated email. No need to send email outside of the workflow. CMR has already sent a decision letter to the Respondent student earlier, which the Respondent would already have received by the time you receive this email task.</td>
</tr>
<tr>
<td>7D CMC to note the outcome and notifying complainant</td>
<td>CMC</td>
<td>3 days</td>
<td>Yes (7de)</td>
<td>No</td>
<td>To the Complainant. The system will send the complainant an email that the case has been investigated and dealt with. Therefore, an assessment needs to be made by the CMC if the level of information back to the Complainant is adequate. If not, you need to draft an email outside of the workflow that includes the findings from HR and the outcome etc. You are required to save that email to the workflow using the document uploader before you completing this step.</td>
</tr>
<tr>
<td>8F - CMR to note a non-indictable decision by OGC</td>
<td>CMR</td>
<td>3 days</td>
<td>No</td>
<td>Yes (9fs)</td>
<td>You need to draft and send a letter to the Respondent student with the come of non-indictable. No template is available from the workflow at the moment. You need to save it to the workflow using the document uploader, and then tick Flag to send in workflow, so</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>------------------</td>
<td>----</td>
<td>----------</td>
<td>----------------------</td>
<td>---------------------</td>
<td>-------</td>
</tr>
<tr>
<td>9 CMR to receive investigation outcome</td>
<td>CMR</td>
<td>2 days</td>
<td>No</td>
<td>No</td>
<td>the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. You receive this task when OGC has completed their investigation. You need to review the documentation and recommendation provided by the OGC. If it appears there are certain elements missing, please call the relevant staff member in OGC to discuss first, then roll the task back to them for addendum. In which case, select Request for further information. If OGC has provided everything that is required, then select Accept. You will need to prepare a recommendation to the DVC Registrar as to if there will be penalties applied or no further actions are to be taken. Using the document uploader to save your recommendation letter to the workflow. After you have completed this step, the DVC Registrar’s nominee will review your recommendation and seek DVC Registrar’s sign off next, and then this case will come back to you for you to communicate to the respondent.</td>
</tr>
<tr>
<td>9A - Not Found - CMR to note the outcome and prepare communication</td>
<td>CMR</td>
<td>3 days</td>
<td>No</td>
<td>Yes (9as)</td>
<td>You receive this step because the OGC has received notification from a law enforcement agency that the alleged offence was not found. You need to draft and send a letter to the Respondent student to inform them of the outcome. No template is available from the workflow at the moment. Once finalised save it to the workflow using the document uploader, and then tick Flag to send in workflow, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. The workflow will send an automated email to the complainant after CMC step at 11A further down the track. It is the CMC’s...</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>------</td>
<td>----------</td>
<td>----------------------</td>
<td>---------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>9B - Withdrawn by complainant - CMR to action</td>
<td>CMR</td>
<td>3 days</td>
<td>Yes (11be)</td>
<td>Yes</td>
<td>You receive this step because the OGC has received notification from a law enforcement agency that the Complainant has decided not to proceed further with the charges. You need to draft and send a letter to the Respondent student to inform the outcome. No template is available from the workflow at the moment. Once finalised save it to the workflow using the document uploader, and then tick Flag to send in workflow, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. The workflow will send an automated email to the complainant 11be - You have withdrawn your complaint. No need to email to the complainant further or in addition to what workflow has already sent.</td>
</tr>
<tr>
<td>9CA No further actions - CMR to implement case decision</td>
<td>CMR</td>
<td>3 days</td>
<td>No</td>
<td>Yes (10cas)</td>
<td>You receive this task when the DVC Registrar or his nominee has determined a No further actions decision outcome. Their determination will most probably be based on your recommendation made earlier to them at step 9 CMR to receive investigation outcome. It is most likely that your draft decision letter has already been signed off. Please ensure this letter is ticked against send, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. The CMC is responsible for communicating with the complainant about this outcome at 11CA.</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>-------------------</td>
<td>-----</td>
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<td>-------</td>
</tr>
<tr>
<td>9CC Proceed to penalty (DVCR) - CMR to implement</td>
<td>CMR</td>
<td>3 days</td>
<td>Yes (10cce)</td>
<td>Yes (9ccs)</td>
<td>You receive this task when the DVC Registrar or his nominee has determined a <strong>Proceed to penalty (DVCR)</strong> outcome. Their determination will most probably be based on your recommendation made earlier to them at step 9 <strong>CMR to receive investigation outcome</strong>. It is most likely that your draft decision letter has already been signed off. Please ensure this letter is <strong>ticked</strong> against <strong>send</strong>, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. <strong>An auto generated system email</strong> will be sent to the complainant. Generally no further email sent to the complainant student is necessary.</td>
</tr>
<tr>
<td>9CD Proceed to penalty (VC) - CMR to action</td>
<td>CMR</td>
<td>3 days</td>
<td>Yes (10cde)</td>
<td>Yes (9cds)</td>
<td>You receive this task when the DVC Registrar or their nominee has determined a <strong>Proceed to penalty (VC)</strong> outcome. Their determination will most probably be based on your recommendation made earlier to them at step 9 <strong>CMR to receive investigation outcome</strong>. It is most likely that your draft decision letter has already been signed off. Please ensure this letter is <strong>ticked</strong> against <strong>send</strong>, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. <strong>An auto generated system email</strong> will be sent to the complainant. Generally no further email sent to the complainant student is necessary.</td>
</tr>
<tr>
<td>9F - CMR to action on a prosecuted case outcome from OGC</td>
<td>CMR</td>
<td>5 days</td>
<td>No</td>
<td>Yes (9fs)</td>
<td>The case is at a stage where a law enforcement agency has found the student guilty of the allegations. Besides the legal penalties, the University will need to apply its own penalty if necessary. Hence you will need to organise a meeting for the Respondent</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>------------------</td>
<td>----</td>
<td>----------</td>
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<td>---------------------</td>
<td>-------</td>
</tr>
<tr>
<td><strong>10CA No further actions - CMR to draft communication to respondent</strong></td>
<td>CMR</td>
<td>3 days</td>
<td>No</td>
<td>Yes (10cas)</td>
<td>The case is at a stage where the DVC Registrar or their nominee has decided “<strong>No further actions</strong>” on an indicable offence has been withdrawn by the complainant. No template yet for this in workflow. Please ensure the letter is drafted and saved to the workflow using the <strong>Document Uploader</strong>. Ensure you <strong>tick Flag to send</strong>, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. The CMC will be responsible to communicate with the complainant about this outcome at <strong>11CA</strong>.</td>
</tr>
<tr>
<td><strong>10F CMR to record DVC Registrar’s penalty decision (DVCR)</strong></td>
<td>CMR</td>
<td>5 days</td>
<td>Yes (10cce)</td>
<td>Yes (9cce)</td>
<td>You need to draft and seek approval on a letter to the Respondent student with the <strong>outcome and penalty</strong> details outside of the workflow. No template is available from the workflow at the moment. Once the letter is approved, you need to save it to the workflow using the <strong>document uploader</strong>, and then <strong>tick Flag to send</strong> in workflow, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. <strong>An auto generated system email</strong> will be sent to the complainant after CMC’s step <strong>10cce</strong>. Generally no further email sent to the complainant student is necessary.</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>----------------------------------------------------------------------------------</td>
<td>--------</td>
<td>----------</td>
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<td>---------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>10F CMR to record DVC Registrar's penalty decision - Proceed to penalty (VC)</td>
<td></td>
<td></td>
<td>Yes (10cde)</td>
<td>Yes (9cds)</td>
<td>You need to draft and seek approval on a letter to the Respondent student with the outcome and penalty details outside of the workflow. No template is available from the workflow at the moment. Once the letter is approved, you need to save it to the workflow using the document uploader, and then tick Flag to send in workflow, so the respondent student will receive a formal letter as an attachment to the email sent to the student by workflow. An auto generated system email will be sent to the complainant after CMC's step 10cde. Generally no further email sent to the complainant student is necessary.</td>
</tr>
<tr>
<td>11A - Not found by Police - CMC to note and communicate with complainant</td>
<td>CMC</td>
<td>5 days</td>
<td>Yes</td>
<td>No</td>
<td>It is recommended that the CMR needs to draft and send the Complainant an email outside of the workflow, as the generic email sent to the complainant after your step only tells the complainant student that the matter has been resolved. You are required to save that email to the workflow using the document uploader before you completing this step. By now, the Respondent would have received an email with the formal decision letter via email.</td>
</tr>
<tr>
<td>11CA - No further actions - CMC to implement decision</td>
<td>CMC</td>
<td>3 days</td>
<td>Yes (11cae)</td>
<td>No</td>
<td>It is recommended that the CMR needs to draft and send the Complainant an email outside of the workflow, as the generic email (11cae) sent to the complainant after your step only tells the complainant student that the matter has been resolved. Your email needs to include some explanation as to why the case could not be proceeded further and what other avenues the student might have. You are required to save that email to the workflow using the document uploader before you completing your step.</td>
</tr>
<tr>
<td>Steps and outcome</td>
<td>By</td>
<td>Duration</td>
<td>Email to complainant</td>
<td>Email to Respondent</td>
<td>Notes</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
<td>-----</td>
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<td>---------------------</td>
<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>By now, the Respondent would have received an</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>By now, the Respondent would have received an email with the formal</td>
</tr>
<tr>
<td>email with the formal decision letter via email.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>decision letter via email.</td>
</tr>
<tr>
<td>12 CMC to close off the case</td>
<td>CMC</td>
<td>10 days</td>
<td>No</td>
<td>No</td>
<td>Please save additional documentation to the workflow before closing</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>the case.</td>
</tr>
<tr>
<td>12 CMC to close off a case that was not proceeded</td>
<td>CMC</td>
<td>3 days</td>
<td>No</td>
<td>No</td>
<td>Tick a category as to why the case was not proceeded. Please save</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>additional documentation to the workflow before closing the case.</td>
</tr>
<tr>
<td>12 CMR to close off the case</td>
<td>CMR</td>
<td>10 days</td>
<td>No</td>
<td>No</td>
<td>Please save additional documentation to the workflow before closing</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>the case.</td>
</tr>
</tbody>
</table>
### 6.2 Manager SAU

<table>
<thead>
<tr>
<th>Step</th>
<th>Recipient/By</th>
<th>Duration</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 Manager SAU to allocate a CMC</td>
<td>Idena Rex</td>
<td>1 day</td>
<td>Manager SAU to allocate a CMC</td>
</tr>
<tr>
<td>3B Faculty or Admin matter - Manager, SAU to allocate a CMR</td>
<td>Idena Rex</td>
<td>1 day</td>
<td>Manager SAU to allocate a CMR</td>
</tr>
<tr>
<td>3D Manager SAU - allocate a CMR for a complaint against a staff member</td>
<td>Idena Rex</td>
<td>1 day</td>
<td>Manager SAU to allocate a CMR</td>
</tr>
<tr>
<td>5C - Manager SAU to allocate a CMR for student respondent</td>
<td>Idena Rex</td>
<td>1 day</td>
<td>Manager SAU to allocate a CMR</td>
</tr>
<tr>
<td>5F - Possible Indictable Offence (Student) - SAU Manager to allocate a CMR</td>
<td>Idena Rex</td>
<td>1 day</td>
<td>Manager SAU to allocate a CMR</td>
</tr>
</tbody>
</table>

### 6.3 DVC Registrar or his Nominees

<table>
<thead>
<tr>
<th>Step</th>
<th>Recipient/By</th>
<th>Duration</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>4C – Decision Required - DVCR's Nominee to provide a case direction</td>
<td>Mandy Baric</td>
<td>2 days</td>
<td>This step is a decision making step where the DVCR or his nominee is to determine if the allegation require the student to be interviewed.</td>
</tr>
<tr>
<td>9CB - Decision Required - DVC's Nominee to determine an investigated case</td>
<td>Mandy Baric</td>
<td>5 days</td>
<td></td>
</tr>
<tr>
<td>11B Indictable Offence withdrawn - DVCR's Nominee to provide a case direction</td>
<td>Mandy Baric</td>
<td>20 days</td>
<td></td>
</tr>
</tbody>
</table>
6.4 HR Case Management

When the nature of the complaint is about the conduct of a particular staff member, SAU will refer the complaint to the HR Case Management Group (CMG) for action. CMR at SAU will select the appropriate Case Manager at CMG based on portfolio allocation set by HR. Once the CMR at SAU has completed their task of selecting a CM at CMG, an email will be sent to the Manager, HR Case Management. The HR Case Manager will receive the task as an outlook email after the Manager has received a case notification email. The HR Case Manager can either complete their task within the Outlook email or they can log into the workflow portal to complete their task.

<table>
<thead>
<tr>
<th>Step</th>
<th>Recipient/By</th>
<th>Duration</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>5De Action Required - HR Case Manager to investigate a complaint referred by SAU</td>
<td>HR Case Manager</td>
<td>60 days</td>
<td>Workflow ID and step name</td>
</tr>
</tbody>
</table>

Complete this task in Outlook, or the portal.

After you have completed review or investigation, please select an appropriate outcome by clicking the appropriate outcome link. This will trigger a return email to be popped up.

Click the document link to retrieve case documents in RecordsOnline.

Please do not reply to this email, rather, click on the outcome link.
<table>
<thead>
<tr>
<th>Step</th>
<th>Recipient/By</th>
<th>Duration</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>5D HR Case Manager to investigate a student complaint case referred by SAU</td>
<td>HR Case Manager</td>
<td>60 days</td>
<td>Workflow name contains details of alleged staff member’s surname in most cases. Click Open to action the item, or if you are going on an extended leave, please click Release to put this item in the Team Item for relocation. Please consult with Megan prior to releasing your tasks.</td>
</tr>
<tr>
<td>Complete this task in the portal. You will receive a daily task reminder which has a link to log into the workflow portal. Upon successful log in, you will see the tasks in your My Items intray.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clicking <strong>Open</strong> in <strong>My Items</strong> will take you to the item panel for you to work. 1. Read the step instructions to understand what is required of you. 2. Click <strong>Open All Documents</strong> to read case documents. 3. Click the magnifying glass to view case comments by previous staff members. 4. Conduct the necessary review or investigation, then use the <strong>Document Uploader</strong> to upload your documentation including all email correspondence about this case.</td>
<td>HR Case Manager</td>
<td>60 days</td>
<td></td>
</tr>
<tr>
<td>5. Determine an outcome by selecting the appropriate button. 6. Leave a note in the Comments to apply to the workflow box. 7. Click Save and Exit without Completion if you are still working on this task, or 8. Click <strong>Complete</strong> button to finalise your task.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6.5 OGC

The Office of General Counsel interacts with the SAU complaint handling system in four possible touch points described further below in section C. These tasks will first be sent to Dominic Stewart, who will then forward the system generated email to a member of his team for action.

Only a member of {WF – SAU – Investigators} can be delegated to action the tasks. Dominic Stewart is the group owner that can authorise the changes to the membership of this group. To be able to access the workflow portal and documents stored in RecordsOnline, the task recipient must have a valid Unikey and be a registered RecordsOnline user. Currently, this group consists of the following OGC personnel:

- [WF - SAU - Investigators]
  - Barel, Lauren (Ms)
  - Cassoff, Kristy (Ms)
  - Fry, Ashley Anderson
  - Rehn, Kerry (Ms)
  - Stewart, Dominic (Mr)
  - Wright, Jane (Ms)

A. Touch points

1. When DVC Registrar or his nominee determines that the student is to be interviewed in respect to a misconduct allegation (step 4Ce), a task requires a formal “letter of allegation” will be sent to OGC for completion. The task is expected to be completed within three working days.

<table>
<thead>
<tr>
<th>Step</th>
<th>Recipient/By</th>
<th>Duration</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>6Ce - Possible Student Misconduct - Letter required to inform the interview with DVCR</td>
<td>Dominic Stewart</td>
<td>Email alert, not a task requiring completion</td>
<td>This email will be sent to Dominic Stewart by default, who will then forward this system generated email to a lawyer within his team.</td>
</tr>
<tr>
<td>6C - Possible Student Misconduct - Letter required to inform the interview with DVCR</td>
<td>OGC lawyer who receives the email forwarded by Dominic</td>
<td>3 days</td>
<td>The lawyer who receives this email, will need to log into the workflow portal to acquire the task from the Team Items tray.</td>
</tr>
</tbody>
</table>
2. When DVC Registrar or his nominee, after having interviewed the student, determines the case is to be further investigation by a lawyer.

<table>
<thead>
<tr>
<th>Step</th>
<th>Recipient/By</th>
<th>Duration</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>BCDe - ACTION REQUIRED - DVC Registrar would like you to investigate a complaint case</td>
<td>Dominic Stewart</td>
<td>Email alert, not a task requiring completion</td>
<td>This email will be sent to Dominic Stewart by default, who will then forward this system generated email to a lawyer within his team.</td>
</tr>
<tr>
<td>BCD - ACTION REQUIRED - DVC Registrar would like you to investigate a complaint case</td>
<td>OGC lawyer who receives the email forwarded by Dominic</td>
<td>40 days</td>
<td>The lawyer who receives this email, will need to log into the workflow portal to acquire the task from the Team Items tray.</td>
</tr>
</tbody>
</table>

3. When there is a case deemed to be possible indictable by a CMC at step 3. OGC needs to determine if the case is to be referred to a law enforcement agency, such as the NSW Police.

<table>
<thead>
<tr>
<th>Step</th>
<th>Recipient/By</th>
<th>Duration</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>7Fe ACTION REQUIRED - Student Complaint - possible indictable - OGC to provide case direction</td>
<td>Dominic Stewart</td>
<td>Email alert, not a task requiring completion</td>
<td>This email will be sent to Dominic Stewart by default, who will then forward this system generated email to a lawyer within his team.</td>
</tr>
<tr>
<td>7F ACTION REQUIRED - Student Complaint - possible indictable - OGC to provide case direction</td>
<td>OGC lawyer who receives the email forwarded by Dominic</td>
<td>5 days</td>
<td>The lawyer who receives this email, will need to log into the workflow portal to acquire the task from the Team Items tray.</td>
</tr>
</tbody>
</table>

4. If and when the case is deemed to be indictable by OGC, and after the case has been referred to the to be referred to a law enforcement agency, such as the NSW Police, OGC will receive another task to provide the outcome of the case, as the OGC is the point of contact with the external party.

<table>
<thead>
<tr>
<th>Step</th>
<th>Recipient/By</th>
<th>Duration</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>8Fe Action Required - OGC to provide outcome of an indictable case</td>
<td>Dominic Stewart</td>
<td>Email alert, not a task requiring completion</td>
<td>This email will be sent to Dominic Stewart by default, who will then forward this system generated email to a lawyer within his team.</td>
</tr>
<tr>
<td>BF - Action Required - OGC to provide outcome of an indictable case</td>
<td>OGC lawyer who receives the email forwarded by Dominic</td>
<td>90 days</td>
<td>The lawyer who receives this email, will need to log into the workflow portal to acquire the task from the Team Items tray.</td>
</tr>
</tbody>
</table>
## B. Completing tasks

<table>
<thead>
<tr>
<th>Action</th>
<th>Screenshot</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dominic forwards the system generated email to a solicitor who is a member of WF – SAU – Investigators. Dominic should be able to access the case records by clicking the URL provided in the email.</td>
<td><img src="image.png" alt="Screenshot" /></td>
</tr>
</tbody>
</table>

Dear Kristy,

For your action

Kind Regards
May

From: UAITrecordonline@sydney.edu.au (mailto:UAITrecordonline@sydney.edu.au)
Send: Friday, 21 April 2017 20:23 AM
To: Dominic Steward
Subject: WF - Possible Student Misconduct - Letter required to inform the interview with DVCR

Dear Dominic,

This is a new allegation of possible misconduct complaint against a student. DVCR Register or his nominee has decided to interview the student.

The case file in RecordOnline is 817-245 can be accessed by clicking this link: [https://uat.recordonline.sydney.edu.au/record?property=1853009](https://uat.recordonline.sydney.edu.au/record?property=1853009).

Please forward this email to a suitable solicitor to prepare an allegation letter to the student. This letter will be modified by a Case Manager in SAU with Preliminary Meeting appointment date and time, and will be sent to the student under the signature of the DVCR Register.

They will need to log onto the workflow portal [https://recordonline2.sydney.edu.au/workflowportal/CommLaNew.aspx](https://recordonline2.sydney.edu.au/workflowportal/CommLaNew.aspx) to complete this task within three working days.

Yours sincerely,

DVC Register

Documents that are currently failed to Workflow with Job Number: 17579

- Record Number: DOC2017/2249 DBID:U2 Title: Case Trage web form output
- Record Number: DOC2017/2250 DBID:U2 Title:Composer - Poor cases found - 12 April 2017
- Record Number: DOC2017/2251 DBID:U2 Title:Composer - Poor cases found - 12 April 2017
- Record Number: DOC2017/2251 DBID:U2 Title:Student complaint lodged for XXXX 299990001 - M YYYY - 299990002 - MSHI 201704221410
<table>
<thead>
<tr>
<th>Action</th>
<th>Screenshot</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 Delegated solicitor receives the email, clicks on the link to the workflow portal. Upon successful login using their Unikey and password, the Records Online Workflow Portal appears. Click on the <strong>Team Items</strong> tab to view the task. Please ensure you only acquire the task that has been assigned to you by Dominic. Click <strong>Acquire/Open</strong> to start working on this case, click <strong>Acquire</strong> to move this item to your <strong>My Items</strong> tray, so it will not be mistakenly acquired by other members of the team. If you have already acquired the task, you will need to access this item from <strong>My Items</strong> tab. Click <strong>Open</strong> to work on the task. Click the <strong>Release</strong> button to release this task back to the Team Items tray. Please only release the item to the team pool if you are going to be away for a long period of time and in consultation with Dominic.</td>
<td><img src="image1" alt="Screenshot of Records Online Workflow Portal" /> <img src="image2" alt="Screenshot of Records Online Workflow Portal" /></td>
</tr>
<tr>
<td>Action</td>
<td>Screenshot</td>
</tr>
<tr>
<td>--------</td>
<td>------------</td>
</tr>
<tr>
<td><strong>3</strong> Clicking <strong>Acquire/Open in Team Items</strong> or <strong>Open in My Items</strong> will take you to the item panel for you to work. You will see the step instruction under the <strong>Instruction</strong> tab. For this space, you are able to upload documents to the workflow using the <strong>Document uploader</strong>. To do so, please click the <strong>Browse</strong> button to navigate to the source of the document. Click <strong>Upload Document</strong> button to complete the upload of the document. You may enter case notes in the <strong>Comments to apply to this workflow</strong> box. Click the <strong>Complete</strong> button to finalise your task.</td>
<td><img src="image" alt="Image of a screenshot showing the interface for uploading documents and case notes in a workflow process. The screenshot includes a section for adding documents, comments, and a progress indicator. The interface is visible with relevant buttons and fields labeled for actions like browse, upload, and complete." /></td>
</tr>
</tbody>
</table>
7 SYSTEM SEARCHES AND REPORTS

7.1 Simple searches and generating reports in the workflow portal

The Enquiry function in the workflow portal offers a simple way of searching for one or more workflow items. To do so:

1. Click **Enquiry** in the top menu bar.
2. Set the **Display Limit** to above 200 items. The example below is set to 5,000.
3. Select the **Students Complaints Handling** as the **Workflow Template**.
4. In the **Workflow Title Filter**, enter your faculty code to search all cases for your faculty and then use the **Date Registered** to the right to limit the search in a date range. You can also enter a SID within the **Workflow Title Filter** to search for cases relating to one student.
5. Tick **Include completed workflow** if appropriate.
6. Click the **Search** button to kick off a search.

7. Click the button in front of the case to expand the workflow to show all activities.
8. Click Report Viewer button to generate a HTML table of the report (see first search image).

9. Click the Export drop down menu button to export and save the report to your computer.

7.2 Using saved searches in HPRM – all cases

Accessing saved searches within HPRM offers a simple way of searching for workflow cases lodged within your faculty. To do so:

1. Click Tools and select Saved Searches. You should be able to see a list of existing saved searches.

2. Click on the saved search name column to sort the saved searches by name in descending order. Please Note: Saved searches relating to workflows will all begin with the prefix ‘WF’.
7.3 Configuring view of Workflow search results

Setting the pre-set columns within HPRM will ensure your computer is adequately configured to fully engage with the workflow system and will allow you to collect meaningful and appropriate data for faculty reporting. To do so:

1. Perform a Workflow search by selecting Search > Find Workflows.
2. Once your search has returned results, right click on any of the workflow heading columns e.g. Name, and select Format Columns as shown below.

3. Please note the following about the image below.
   1. To add a new column locate it in the Available Columns section and click to highlight it.
   2. Click on the Add button to add it to your default list.
   3. Your default list is shown in the Displayed Columns section.
   4. Click Remove to remove a column from your Displayed Columns list.
   5. Use the Up and Down buttons to sort the order of your default columns.

4. Once you have arranged your columns, click the OK button to save the changes and close the window.
Please Note:

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Number</td>
<td>The Workflow Job Number e.g 16/XXX.</td>
</tr>
<tr>
<td>FlexSIS SID Number</td>
<td>The Students SID.</td>
</tr>
<tr>
<td>Name</td>
<td>The Workflow Name including; Faculty, UOS Code, The Students SID, The Students full name, and a date and time stamp (when the case was lodged) – Year, Month, Day, Time (24hr).</td>
</tr>
<tr>
<td>Date Registered</td>
<td>The date and time the workflow was lodged.</td>
</tr>
<tr>
<td>Module Completed</td>
<td>The Additional Development Course run by the learning centre which the student has completed as a part of the Preliminary decision 'Additional Development and Resubmission'.</td>
</tr>
<tr>
<td>Date Completed</td>
<td>The date the student completed the required learning centre module.</td>
</tr>
<tr>
<td>Workflow Outcome</td>
<td>The case decision or final outcome for the workflow case.</td>
</tr>
<tr>
<td>Date Completed</td>
<td>The date the workflow case was completed.</td>
</tr>
</tbody>
</table>
7.4 Using saved searches in HPRM – case progress and activities

Searching for a workflow and displaying its current activity will allow you to determine (A) what activity step a workflow has progressed to and (B) who the current activity step is assigned to.

1. Search for a Workflow by selecting Search > Find Workflows.
2. Once your search has returned results, click once on the desired workflow, then right click and select Show Activities.

![Show Activities](image)

3. Click the Activity State column heading to sort the column and scroll through until you locate Started (or Ready to Start). If Activity State is not present within your preset columns, follow the same steps under section 7.3, and add Activity State to your preset columns.
4. Once you’ve located either of these activity states click once to highlight the row. This will assist in locating the current activity step in progress as shown below.

![Activity State Table](image)

The Activity State column will tell you the nature of the step, including the following:

<table>
<thead>
<tr>
<th>Activity State</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Started</td>
<td>The activity step is in progress / has started.</td>
</tr>
<tr>
<td>Ready to Start</td>
<td>The activity step is in progress / has started.</td>
</tr>
<tr>
<td>Skipped</td>
<td>The activity step has been skipped.</td>
</tr>
<tr>
<td>Finally Completed</td>
<td>The activity step has been completed.</td>
</tr>
<tr>
<td>Not Ready to Start</td>
<td>The activity step is not yet ready to start.</td>
</tr>
</tbody>
</table>
(A) What activity step a workflow has progressed to:

1. With the Started (or Ready to start) Activity State row highlighted (as per section 7.3 above), scroll across to the Name column heading, to determine what activity step the workflow is currently at.

Note: As seen below, this workflow is currently sitting at activity step “2Br Action Required…”

(B) Who the current activity step is assigned to:

2. Again, with the Started (or Ready to start) Activity State highlighted (as per section 7.3 above) scroll across to the Assigned To column heading, to determine who the activity step is currently assigned to as seen below.

Overdue Activities:

3. Overdue activities can be identified by;
   a) The red icon 🔄 at the start of the activity step title – visible under the Name column and,
   b) If the date under the Due Date column has passed.

Note: Activity step due dates are generated by the workflow system and should be referred to as a guide rather than an absolute deadline.

7.5 Searching for individual workflows

Searching for an individual workflow will allow you locate specific workflows lodged on behalf of a student.

Searching for specific Workflows will help you determine:
- What documents have been added to the workflow.
- The case initiator of the workflow.
- Specifics of the workflow i.e. attendance pattern, gender, whether they are a local/international student, etc.
- The final outcome or case determination of the workflow.
- Any specific penalties applied as a result of the case determination/final outcome.

To do so:

1. Use the shortcut Ctrl + W to open the search for workflow window.

Note: If this shortcut is not working, please navigate to Help then select Use Default Layout, then use the shortcut Ctrl + W again.
2. Within the Search for Workflows window, click on the Editor button and select Multi-field.

3. Ensure that the Template text box has Student Complaints Handling entered. To select this template click the blue folder icon then select Student Complaints Handling then click OK.

4. To located a workflow for a specific student, enter the students SID within the Name text box as follows: *SID* e.g. *299900001*

The Workflow Dates tab can further refine your search to display workflows registered (or lodged) within a specific timeframe or on a particular date.

5. Click OK to display search results.

**Note:** If your search has not brought back the results you desired, hit the F7 key on your keyboard to refine your search and modify your searching criteria as necessary.

### 7.6 Viewing workflow records in HPRM

Viewing the associated records of a workflow, allows you to verify what has been uploaded to a workflow at any stage of the case. Furthermore, you can view and verify what letters and attachments have gone out to a student – see section 7.8 for more detail. To do so:
1. Search for workflow using Ctrl + W - see section 7.6 above for further detail.
2. Once you have located the workflow click once on the workflow to highlight it and then right click and select Show Records.

3. All associated records including the initial web form submission will be displayed as follows.

Note: The web form or initiating document, will have the + sign next to the document icon.
7.7 Adding records after a workflow has been closed

Adding records (emails and documents) to a workflow once it has been closed off is important, as all correspondence and documentation (relating to a workflow case) must be filed within the workflow case folder. To do so follow procedure A or B below:

A: Outlook and HPRM

1. Search for the (recently closed) workflow (Ctrl + W) to establish the record number of the workflow case folder.
2. The case folder for this workflow can be determined by right clicking on the workflow (once it’s highlighted) and selecting Show Records.

3. The web form (or initiating document) and all documents associated to the workflow will be displayed. The web form (Initiating doc) has the sign next to the document icon as shown below.

   ![Show Records](image1)

   ![Records](image2)
4. Click (and highlight) the web form, then right click and select Navigation, then select Container Record. This will take you to the case folder.

5. Right-click on the record number of the case folder and select copy as shown below. (e.g. E17-584).

Next catalogue the email and or attachments from Microsoft Outlook into the HPRM (TRIM) case folder.

If you do not have the outlook add-in installed, please add the email/document to the case folder via Records Online or HPRM. If you require instructions for this, please contact Archives and Records Management Services.

6. Open Microsoft Outlook, and click the HP Records Manager tab within Outlook.

7. Click on the appropriate email (to be filed into the case folder), then click either the Catalogue or Catalogue attachment(s) only button as shown below. The Catalogue button will catalogue the email including any attachments, while Catalogue attachment(s) only will only catalogue the attachment(s) of an email and not the email itself.
8. Once you’ve clicked the appropriate outlook button, paste the **case folder record number** (which you copied in step 5) into the **Container** field (e.g. E17-584).

![Container field image]

9. Click **OK**. The Email (including any attachment(s), or just the attachment(s)) are now contained within the workflow case folder of the closed workflow.

**B: Records Online**

1. Login to **Records Online** by following this link [https://recordsonline.sydney.edu.au/rol/quicksearch](https://recordsonline.sydney.edu.au/rol/quicksearch).
2. Ensure **Title** is selected from the drop down list, enter the student’s **SID** where it says “enter your search words here” and click **Containers** as shown below.

![Records Online search result]

---

67 | **Contents**
3. Click **View** on the student’s container file as shown below.

4. To add documents to the case folder, click the **Add Document** button as shown below.

5. This will expand into the document uploader tool.
   1. Enter a title for the document within the **Title** field text box.
   2. Select the document to upload from your desktop or share drive by clicking **Browse...**.
   3. Click **Upload the document and create a new Record** to upload document to case file.
7.8 Checking documents attached to student notifications

Checking documents attached to student notifications, will allow you to (A) verify that the correct and appropriate documents, instructions and notifications have been sent out to the student. Additionally, you will also be able to (B) confirm that a student did receive an email notification with an attached letter, if doubts are ever raised by the student over this part of the procedure.

To do so, please follow the steps below:

(A) What documents were ticked or checked for sending to the student (within the Workflow Portal)?

**Note:** This procedure will reveal the documents that were ticked/checked and sent out to a student at the last and most recently completed student letter step.

Please assume the following scenario for this procedure:

You have just completed step 5C CMR to receive and review complaint below, (or a similar step and have made sure to tick/check the student letter along with other supporting documentation) for sending out to the student (as seen below).

<table>
<thead>
<tr>
<th>Workflow Documents</th>
<th>Open All Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiator (DOC2017/2420) Student complaint lodged for</td>
<td>- Other - A - PAL 201701231231</td>
</tr>
<tr>
<td>Ref (DOC2017/2421) Case Triage web form output</td>
<td></td>
</tr>
<tr>
<td>Ref (DOC2017/2422) Complainant - Prior cases found - 22 May 2017</td>
<td></td>
</tr>
<tr>
<td>Ref (DOC2017/2463) Response from</td>
<td>at ’23/01/2017 00:31:27 AM’</td>
</tr>
<tr>
<td>Ref (DOC2017/2421) Email to student</td>
<td></td>
</tr>
<tr>
<td>Ref (DOC2017/2422) Supporting Documentation</td>
<td></td>
</tr>
</tbody>
</table>

**Note:**
- Any documents with ticked/checked boxes will be sent out to the student once you complete the activity step.
1. Once your assigned activity step has been completed and the case has left your My Items, open up HPRM (TRIM) and search for the workflow case (Ctrl +W).
2. Locate your workflow and right click on any of the workflows headings e.g. Name and select Format Columns (see section 7.3 for more detail regarding formatting the pre-set columns within HPRM).

3. Locate Workflow:FlaggedDocNumbers from the left hand pane (as seen below) and click the Add button (in the centre of the screen), to add it to your default list of HPRM columns.

4. Position and arrange your display columns as follows (using the up and down buttons located to the bottom of the window):

5. Once you have arranged your columns, click the OK button to save the changes and close the window.
6. Under the Workflow:FlaggedDocNumbers column heading, any document numbers showing will be what was last ticked/checked for sending to the student within the workflow portal.

   E.g. The three document numbers displayed below are the same three documents that were previously ticked/checked within the above example activity/step.
(B) A student claims they did not receive the student email (with attachment/s) or the letter attachment within the student email.

Emails sent out to students (from the workflow system) are saved back into the workflow case folder and workflow itself, which can be viewed within HPRM (TRIM) and within the Workflow Portal. If the student email/s are not contained within the case folder or workflow please contact Archives and Records Management Services.

1. Locate the workflow within HRPM, right click on the workflow and select Show Records.
2. Locate the email identified by the email icon (see screenshot below).

3. Double click on the email to open it. As seen below, the sent date, time, attached documents (if any) and student email address can be confirmed.

4. To open the email in Outlook select File > Launch as shown below.

**Note:**
- This method is only available with HPRM (TRIM) installed naively on your PC. If you are a MAC user please contact Records Management Services for an alternative procedure.
- If you require further clarification as to whether the student; received, opened/viewed or deleted the email, please lodge a ticket within the ICT Self-Service portal and reference the HPRM document number (of the student email) and subject line (of the student email) to assist ICT with their investigation.
7.9 Generating complex reports in HPRM

Generating reports within HPRM (TRIM) allows you to produce specific reports capturing more information than is available within the Workflow Portal. To do so:

1. Open a workflows search by selecting Search > Find Workflows.
2. Click Editor and select Multi-field from the drop down list.
3. In the example below we are searching for all current and previous cases in the Faculty of Arts and Social Sciences involving a specific student this month (June 2017).
   1. Tick Name and enter their SID with an asterisk (*) at the beginning and end.
   2. Tick Template and enter Student Complaints Handling.
   3. Navigate to the Workflow Dates tab.
4. Tick Date Registered and enter the from and to date. Type “Today” in the To field if you want to search up to the current day as shown below.
5. Navigate to the Additional Fields tab.
6. You can use the fields as filters. To do so double click on the field, enter a value in both fields, and click **OK** as shown below.

7. Once you have entered the criteria in the desired fields navigate to the **Filter** tab.
8. We will leave “Exclude Workflows that have been completed” un-ticket and navigate to the **Sort** tab.

![Search for Workflows](image)

9. Use this tab to order your results. We will select “Date Registered” from the drop-down list in the first field and tick “Descending” so that the most recent workflow is displayed at the top.

10. Navigate to the **Results** tab.

![Search for Workflows](image)

11. In the **Results** tab see step 3 in [section 7.3](#) for instructions on how to add, remove and re-order fields.

12. Click **OK** to run search.
8 WORKFLOW PORTAL STEP INSTRUCTIONS

8.1 1 SAU Admin – Case verification and triage

A new case has been lodged, please action the following to complete your allocated task:

- Check the form and use this information to input an appropriate (updated) compliant category into Form 2 of the workflow case details.
- For all interpersonal complaints, identify the Respondent through access to University’s information systems (Students or Staff)
- Once identified complete the Respondent field details in the additional case information form by using the link provided in the initial alert email.
- For all non-interpersonal complaints complete the Faculty or Admin division to which the complaint has been directed
- Review the Trim case file history for both the Complainant and the Respondent
- Click Create and Reference Records tab to access the case scoring application from the attached templates
- Completed the assessment scoring questions to establish a case profile value and assessment score. When complete note values and save document
- Add the case score and assessment values provided into the relevant fields in Form 2.
- You have half working day to complete this task.
- Once you have complete the above Click Complete button when you have finalised the step. This complaint will then be forwarded to Manager, SAU to allocate a case manager.

8.2 2 Manager SAU to allocate a CMC

Dear Manager SAU,

A new complaint has been lodged.

The relevant information regarding complaint and case score and profile can be found by clicking the document links attached to this case below, or clicking the Open All Documents button below.

You may leave a note in the “Comments to apply to this Workflow” field if required. Notes can then be viewed by the respective case manager.

Please nominate a case manager for this complaint by typing the first name in the below Mandatory Nomination field. Select the name from the list only.

Click Complete button to proceed to allocating a case manager for this complaint.

You have one working day to complete the allocation of this case.
3 CMC to assess the complaint

Dear CMC,

A new complaint case has been initiated, and the Manager of SAU has allocated this case to you as the Case Manager for the Complainant and initial case assessment.

In this step, you are expected to:

- Review case documentation. You can either click the magnifying glass symbol to view individual document below, or click the “Open All Documents” button to view all case documentation.

You have **ten working days** to complete the assessment of this case.

At this task you are required to:

- Contact the complainant if necessary.
- Complete a risk assessment.
- Update/modify respondent identity and case assessment values if required.
- Determine a complaint handling route for this case.
- Complete a recommendation.
- When completed update the workflow case profile

Select **Case not proceeded with**, if you are of the view that the allegation has insufficient information or inappropriate basis for complaints processing. Please draft a letter and send it to the complainant outside of the workflow using outlook. The complainant email address can be found in the case initiating document. Please save the email to the workflow using the document uploader.

Alternatively cases going forward for action should have one of the following selections made.

Select **Indictable Offence (Student)** if the nature of the complaint is sexual or indecent assault, assault or stealing and is required to be reported to Police. The case will then be forwarded to OGC for determination. A hold should be placed on the Students transcript.

Select **Allegation against a student**, if the respondent is a student. Once you have completed the necessary recommendation document Click **Complete** button to proceed to the Workflow tasks that will manage the complaint case through the misconduct channel for this complaint. This complaint will be forwarded to DVC Registrar or nominee for consideration once you have completed this step. Please ensure you have created and included a **DVC Submission document** before completing this task. A hold should be placed on the Students transcript.

Select **Allegation against a staff member**, if the complaint is about the interpersonal or other behavior by a member of a staff. This case will then be forwarded to HR Case Management to action.

Select **Admin or Faculty matter**, if the complaint is against school and/or faculty decisions, teaching quality, unfair treatment, poor facility or poor administration of the University.

Select **Refer to EI or HDRI process**, if the complaint is made by a staff member concerning academic or research integrity issues that need prior triaging by the appropriate body before proceeding with a misconduct investigation. Click **EI** or **HDRI** to refer a case for appropriate actions.

Click **Complete** button to finalise your actions.
8.4 3B Faculty or Admin matter – Manager, SAU to allocate a CMR

Dear Manager, SAU

The CMC has decided that this case should be referred to a faculty or business unit for investigation. Please nominate a CM Respondent for this case, by typing the first name of the CMR in the below Mandatory Nomination field, and then click the respective name from the dropdown.

Click Complete button, and select a person from the group.

8.5 3D Manager SAU – allocate a CMR for a complaint against a staff member

Dear Manager, SAU

The CMC has decided that this case should be referred to HR for investigation. Please nominate a CM Respondent for this case.

Click Complete button, and select a person from the group.

8.6 4B CMR to co-ordinate the investigation – Faculty or Admin

Dear CMR

You have been nominated as a CMR for a case that need to refer to a faculty or business unit.

Please read the case document, and select an appropriate faculty or business unit person to conduct investigation and provide a report back to SAU.

Please make contact with the faculty or business unit to establish a task recipient first before finalise this step, this will eliminate the possibility of case information be forwarded again unnecessarily.

If the person should receive the task is not within the group list, please contact RecordsOnline (records.online@sydney.edu.au or 9036 9537, or x69537) for assistance.

Click Complete to finalise your step.

8.7 4CA – Complaint dismissed by DVC Registrar – CMC to implement decision
Dear CMC,

The DVC Registrar has dismissed this complaint.

Click Complete button to finalise your step. The workflow will send a system email to inform the complainant of this decision.

8.8  4C – Decision Required - DVCR's Nominee to provide a case direction

Dear Registrar’s nominee,

A complaint has been lodged.

Full details of the complainant and respondent could be found in the attached records - click the document links below.

If you are of the view that the case would not constitute misconduct, please provide appropriate instructions on the decision in the below comments to apply to this workflow field, or as a separate attachment, so the case manager could then use it to formulate a case dismissed decision letter to the complainant.

If you are of the view the case should be progressed as misconduct, please click the Interview the Respondent link below.

Manager, SAU

8.9  4D CMR to refer a case to HR

Dear CMR,

You have been nominated as a CMR for a case that involves staff and therefore needs to be referred to HR Case management for investigation.

Please read the case document, and select an appropriate case manager in HR from the selection list provided, based on the Faculty of the staff member, to conduct investigation and provide a report back to SAU.

Click Complete to finalise your step.

8.10  4E CMC to contact OEI

Dear CMC

This is a case that has been referred to EI or HDRI.

Please contact EI or HDRAC to seek record case decisions and outcome. Please log these details in the workflow note.
Click **Complete** to finalise this case
Dear colleague,

Student Affairs Unit (SAU) – Request for information

Please review the all the relevant documentation and provide a response within 10 working days if possible or advise the SAU if it will take longer.

The SAU has received a complaint from student in relation to your Faculty/unit, and is undertaking an assessment of this matter and is referring it for your consideration and response.

Next Steps

Please undertake the following steps in relation to this matter:

1. Review the case documentation below, and investigate the matters raised in the complaint.

2. Once you have reviewed the case documentation and have made any relevant enquiry, please advise the SAU by selecting one of the options in the table below to confirm your response on this complaint:
   a. Select “Complaint reviewed no further action is to been taken” - Select this option if you your investigation reveals that the complaint has no basis to warrants further corrective action, please provide a written response that addresses the student’s concern. If available, please also attach any relevant supporting documentation.
   b. Select “Valid Complaint Corrective Actions to be Applied” - If your review has found that the matter requires further steps to be undertaken, please provide a written response that addresses the student’s concern and the further steps that have been or will be undertaken. If available, please also attach any relevant supporting documentation.

3. Please input your recommendation to SAU in the “Comments to apply to this Workflow” pane below.
4. Please attach further documentation using the “Document Uploader”.
5. Click on one of the below outcome buttons, and click Complete to finalise your response submission.

The SAU will consider the information and will contact you should any further information is required.

Regards,

Manager, SAU
8.12 5C - Manager SAU to allocate a CMR for student respondent

Dear Manager, SAU

This complaint has been reviewed by the Office of DVC Registrar. Having considered the complaint, the Registrar would like to proceed to interviewing the Respondent student.

Please allocate a Case Manager for the Respondent student.

Click **Complete** button to proceed to allocating a case manager for this complaint. Select a name from the dropdown, and click the **Complete Allocation** button to finalise this step.

8.13 5C CMR to receive and review complaint

Dear CMR

The Manager of SAU has appointed you as the Case Manager for the Respondent student in a complaint case.

Please note that the Registrar or Nominee has decided to interview the Respondent student, and the meeting details should be provided in the Special Instruction box below. If this detail is not there, please contact the Manager SAU before you complete the task.

As the Case Manager for the Respondent Student, you are required to:
- Read the case documentation and become familiar with the complaint case.
- Provide support for the respondent as required.
- Act as the interface between the possible investigation operation and SAU.

Manager, SAU
Dear CMR

The Manager of SAU has appointed you as the Case Manager for the Respondent student in a complaint case.

Please note that the Registrar or Nominee has decided to interview the Respondent student, and the meeting details should be provided in the Special Instruction box below. If this detail is not there, please contact the Manager SAU before you complete the task.

Please use an appropriate template to draft the Notice of Allegation to the Respondent student, as OGC has not been involved in drafting this letter for this particular case. Please seek approval from Mandy Baric if necessary before sending it out to the student.

Please tick the Notice of Allegation letter against SEND tick box, so the respondent student will be receiving it via an email once you have completed this step.

As the Case Manager for the Respondent Student, you are required to:
- read the case documentation and become familiar with the complaint case
- provide support for the respondent as required
- act as the interface between the possible investigation operation and SAU

Manager, SAU
8.15  5D HR Case Manager to investigate a student complaint case referred by SAU

Dear Case Manager HR,

**Student Affairs Unit (SAU) Complaint Referral**

You have 45 working days to complete this investigation.

The case concerning a student complaining against a member of staff has been referred for your consideration. Attached below is the table under All documents associated with this workflow table. Click on the link to retrieve the documents from the Records Online. You may need to authenticate once again.

**Next Steps**
1. Review the case documentation linked below, and make the necessary investigation.
2. Once you have finalised the HR responsibilities and uploaded your Investigation Plan and your report of findings and recommendations for the Student Affairs Unit, select one of the decision links below to confirm the outcome

**Please do not click reply button on the email, rather, using the outcome link to submit your response.**

Once you click on one of the below outcome links, a return email will be generated. Please attach the required documentation, and you may input your further comments if you wish.

Click Complete to finalise your action.

The case will then be forwarded to a case manager of SAU for consideration. They may or may not come back to you for further clarifications.

Kind regards
Manager, SAU

8.16  5F – Possible Indictable Offence (Student) – SAU Manager to allocate a CMR

Dear Manager SAU,

CMC has now assessed this complaint and is of the view that this is a possible indictable offence. Given the nature of this compliant, it please complete the task of allocating a CMR within the next 4 hours.

Please type the first name of the CMR in the below Mandatory Nomination field below, select a CMR from the dropdown list provided.

Click Complete button, and select a person from the group.
8.17  6B CMR to review the outcome of investigation

Dear CMR,

The Faculty or a business unit has now returned your investigation request, and provided an outcome decision, and other information in support of their conclusion.

Please assess and decide if the faculty or business unit actions were complete and allows you to proceed to the next step in the case processing. Was acceptable.

Select “Accept” radio button below, if you believe a thorough review has been conducted and that the outcome and actions by the unit are acceptable and capable of scrutiny and appeal. If this is the case, the CMC will be notified next, and to draft a formal communication with the complainant.

Select “Request for further information” if you believe the investigation and/or actions taken by the faculty of business unit was not acceptable. In which case, you will need to provide a detailed reason as to why this is the case and what are expected of the function to do as the next step.

8.18  6C – Possible Student Misconduct – Letter required to inform the interview with DVCR

Dear OGC colleague,

This is a new allegation of possible misconduct complaint against a student. DVC Registrar or his nominee has decided to interview the student.

Please refer to the attached case information and the associated documents that have been provided during the lodgement and preliminary stages of the case processing.

You are required to prepare an allegation letter to the student. It will be issued by the Case Manager including the Preliminary Meeting appointment time under the signature of the DVC Registrar.

Once the draft has been completed please upload this document to the workflow and select complete.

OGC has been allocated three days to complete this task.

Yours sincerely,

DVC Registrar
8.19 6D CMR to assess action and investigation outcome by HR

Dear CMR,

The HR case management has now returned your investigation request, and provided an outcome decision, investigation plan and other case information.

Please assess and decide if HR’s investigation is complete and allows you to proceed to the next step in the case processing.

Select “Accept” radio button below, if you believe a thorough investigation has been conducted and that the outcome and actions by HR are acceptable and capable of scrutiny. If this is the case, the SAU’s CMC will be the next to formulate a formal communication to the complaint.

Select “Request for further information” if you believe the investigation and/or actions taken by HR are not acceptable. In which case, you will need to provide a detailed reason as to why this is the case and what are expected of HR to do as the next step.

8.20 6F – Possible Indictable Offence (Student) – CMR to liaise with OGC

Dear CMR,

You have been nominated as the CMR to work on this possible indictable case with OGC.

Please read the case documentation and liaise with OGC on nominating a person in OGC to assess this case.
8.21 7B CMC to note case outcome and advice the complainant – Faculty or Admin investigation

Dear CMC,

A compliant that has been referred to a faculty or business unit has returned with their assessment. The findings and or corrective actions have been accepted by the case managers allocated to this complaint of SAU.

Please do the followings at this step:

- Review the documentation.
- Send an email to the complainant advising the outcome of their complaint outside of the workflow.
- Save the sent email to the workflow using the document uploader.
- Click Complete button to finalise your step.

After you have completed this step, a system generated email will be sent to the Complainant advising the matter has been resolved.
Dear CMR,

Once the Respondent student has been interviewed by the DVC Registrar or Nominee, follow up with the DVC Registrar Office with Registrar’s due decisions and associated minutes of the meeting to be included as case records.

Please document DVC Registrar’s decision by selecting one of the following options:

Select “Complaint dismissed” - if the DVC Registrar’s determination is that the case be dismissed, you will need to send a decision letter to the Complainant student. To do so, either draft a letter on your PC and use the document uploader to upload it or use the template provided by the workflow. Ensure tick this letter against Send Allowed box, so the Complainant student will receive this formal decision letter via an email.

Select “Proceed to investigation”, if the Registrar wish to launch a full investigation on this complaint. You are required to do an Investigation summary and indicate in the selection box the allocation for investigation. The workflow will communicate with the Complainant case is undergoing further investigation and time frame.

Select “Proceed to penalty (DVCRegistrar)” - Where the respondent student has admitted the alleged complaint and the action is to apply a penalty determined by the DVC Registrar.

Your action is to liaise with the DVC Reg. or nominee in respect to the penalty details and draft (modify template) the advice to the Respondent student for approval and upload this document to this workflow step for automatic issue by the workflow at Task 9cds/9ccs

The system will communicate with the complainant student that the complaint has been resolved according to University rules. The complaint case will now be deemed to be closed and the case will be progressed to the step 12 CMR to Close Case actions.

Select “Proceed to penalty (VC)”, if the Registrar is of the view that the penalty is to be approved by the Vice Chancellor, you will need to do create a summary and recommendation for the DVC (Reg.) to provide to the VC.

Any of these options will require you to draft formal communications with the respondent students.
8.23 7D CMC to note the outcome and notifying complainant

Dear CMC,

A compliant that has been referred to HR has returned with their findings. The findings and or corrective actions have been accepted by the CMR of SAU.

Please review the documentation, after you have completed this step, a system generated email will be sent to the Complainant advising the matter has been investigated and resolved. It is anticipated that you will be contacted by the Complainant student. Please save this communication or make file note where necessary to document this conversation.

The workflow system will send a standard email text to the complainant to advise their complaint has been assessed and addressed. If you need to email the complainant with a more formal or details email, please do so outside of the workflow. Once the message has been sent, please save it in this work using the Document Uploader, before you finalise your step.

To finalise your step, please

Click an outcome category.

Click Complete to finalise your step.
Dear colleagues,

The Student Affairs Unit has received a student complaint that has been considered possible indictable offence by a student.

Could you please assess and provide handling direction by select the decision radio button below.

Not an indictable action (student).
If you select Not an indictable action (student) button, this case will be handled internally by SAU as a possible misconduct case.

Report to the Police.
If you believe the University is obliged to report the alleged acts or incidents and should be investigated or prosecuted by the law enforcement agencies, please click the Report to the Police button below. Once you have made the Report to the Police decision, an email will be sent to the complainant advising of case action and timing. If the Report to the Police option is taken, you will receive another workflow email based task to record the outcome of this action in due course.

After this, you will need to proceed with the necessary actions required of reporting the complaint to Police in accordance with the University’s obligations to report.

You are expected to contact Respondent student outside of the workflow, and have these email communications saved in the workflow for case reference and document management requirements.

Click Complete button below to finalise your activity.
8.25 8CD - ACTION REQUIRED - DVC Registrar would like you to investigate a complaint case

Registrar appointed investigator,

You would have received an email about this already, where you have been requested by the DVC Registrar to investigate a complainant or misconduct against a particular student.

Please refer to the attached documentation below for further information about this case.

We would very much appreciated if you could:

1. Create an investigation plan.
2. Conduct investigation.
3. Prepare investigation report.
4. Update MIS with investigation recommendation

The documentations relating to the complaint can be found by clicking the links below.

You have been given 30 working days to complete this investigation.

To complete your investigation, please including necessary documentation, including:

- Investigation plan
- Investigation report
- Investigation recommendation
- Any record of interview documentation

Click Complete button below, and within the return email,

Should you have any questions or require assistance, please contact the Student Affairs Case manager allocated to this case.

Kind regards,
Student Affairs Unit
8.26 8F - Action Required - OGC to provide outcome of an indictable case

Dear OGC Colleague,

Student Affairs Unit (SAU) Complaint Referral - A possible indictable offence - please provide case outcome and documentation

If you see !! at the end of the task title, it means this is a case you have already dealt with, but SAU CMR has requested further information to allow them to efficiently complete their tasks.

Thank you for your decision on this case previously where you have agreed that this case is to be processed as a possible indictable action.

You are now required to proceed with managing the investigation with external bodies and provide the investigation outcome to SAU.

SAU require the following documents to make a recommendation to the DVC Registrar and meet external requirements:
- Investigation plan
- Investigation proceedings
- Investigation outcome report with recommendation

Ninety days have been allocated to complete this investigation.

Kind regards
Manager, SAU

8.27 8F - CMR to note a non-indictable decision by OGC

Dear CMR,

OGC has considered the referral and has decided that this is not an indictable case appropriate for referral to Police.

You will need to handle this case as per normal student misconduct.

Please draft a letter to the Respondent student to request their attendance at a meeting with the DVC Registrar. Ensure this letter is tick against SEND, so the respondent student receives a copy via email.

You will need to liaise with EA to the DVC Registrar or DVCR’s Nominee on a suitable meeting date and time, and venue first.

Manager, SAU
8.28 9 CMR to receive investigation outcome

Dear CMR,

The appointed external investigator now has returned their finding. If you are not satisfied with the investigation documents that will allow you to execute your actions, please select **Request for further information** button below, and provide further instruction in terms what lead you to believe the investigation is incomplete or what information you are seeking has not been provided.

If you are satisfied with the investigation processes, you will need to prepare a submission document for DVC Registrar with a recommendation of penalty to be applied based on precedents for this type of complaint. Select the **Accepted** button below and click **Complete** button to finalise your actions.

8.29 9A - Not Found - CMR to note the outcome and prepare communication

Dear CMR,

The indictable incident you have referred recently has been returned with a Not Found outcome.

Please assess the information returned from the Office of General Counsel, to ensure all the required documentation recording the actions taken has been provided.

**Next step:**
Please draft a letter to the respondent student informing them of the complaint case has been investigated and closed and that no further action will be taken in respect to this matter. You will need to draft a decision letter to the Respondent student using the template. To do so, either draft a letter on your PC and use the document uploader to upload it or use the template provided by the workflow. Ensure tick this letter against Send Allowed box, so the Respondent student will receive this formal decision letter via an email.

Click **Complete** to finalise your step.

8.30 9B - Withdrawn by complainant - CMR to action

Dear CMR,

The complainant has decided that they are not pursuing the matter further with the Police.

This complaint will now be dealt with internally.

You are required to:
1. Organise a meeting for the DVC Registrar to meet with the respondent student.
2. Draft an email to the respondent to inform the meeting details.
3. Using forward nomination fields below to select Efile2, ROL1, so the complainant will no longer be receiving any more downstream communications.

Once you have completed this step, the Respondent and the DVC Registrar will receive an email notification.
8.31 9CA No further actions - CMR to implement case decision

Dear CMR,

Having considered the investigation reports and recommendation, the DVC Registrar has determined that no further action is to be taken.

Please save all the necessary documentation from or with the Office of DVC Registrar in the workflow by using the Document Uploader.

You will need to draft a decision letter to the Respondent student using the template. To do so, either draft a letter on your PC and use the document uploader to upload it or use the template provided by the workflow. Ensure tick this letter against Send Allowed box, so the Respondent student will receive this formal decision letter via an email.

Once you have completed this, please click Complete button to finalise your task.

Manager, SAU

8.32 9CB - Decision Required - DVC's Nominee to determine an investigated case

Dear Registrar's Nominee,

Attached please find the recommendation document for you to make a formal determination on this case. Supporting this recommendation are pertinent documents from the investigation phase.

Could you please provide your determination of this case by select one of the decision button below.

Thanks
Manager, SAU
8.33 9CC Proceed to penalty (DVCR) - CMR to implement

Dear Case Manager (R),

The DVC Registrar has decided to apply penalty (DVC) to the respondent student.

You need to prepare a formal decision letter including penalties to be applied to the respondent student.

Once it has been approved, please tick the decision letter against SEND check box, so it will be sent to the Respondent student via email.

Manager, SAU

8.34 9CD Proceed to penalty (VC) - CMR to action

Dear Case Manager (R),

The DVC Registrar has decided to apply penalty (VC) to the respondent student.

You need to prepare a formal decision letter including penalties to be applied to the respondent student.

Once it has been approved, please tick the decision letter against SEND check box, so it will be sent to the Respondent student via email.

Manager, SAU
8.35 9F - CMR to action on a prosecuted case outcome from OGC

Dear CMR,

OGC has now returned to you an indictable case you have forwarded as an indictable case, that has now been consequently prosecuted by the law enforcement agencies.

Please check if you have the necessary information from OGC for you to communicate with the DVC Registrar in respect creating the submission to recommend a penalty to be applied.

The necessary information being:
- Investigation plan
- Investigation proceedings
- Investigation outcome report with external penalties applied

If yes, Select Accept radio button below, you will need to draft a letter to the Respondent student to call for a meeting with the DVC Registrar with regards to the University action.

If you require further information in order to proceed, please select Request for further information radio button below, with a note to indicate the missing information you require.

The OGC is expected to provide the above documents in order for you to proceed to DVC Registrar decision step.

Manager, SAU

8.36 10CA No further actions - CMR to draft communication to respondent

Dear CMR

The Registrar has made a decision that no further actions will be taken.

Please draft or review a decision letter to the respondent student. Tick against SEND, so the student will receive a formal letter in PDF.

Please click Complete to move the case forward, and a standard email will be sent to the complainant informing them no further action will be taken.

Manager, SAU
8.37 10F CMR to record DVC Registrar’s penalty decision

CMR,

OGC has returned their investigation outcome on a possible indictable complaint which has been found to and the DVC registrar has been asked to approve the recommended penalty outcome to be applied to the respondent student. Attached please find the relevant documents for you to draft and seek approval on a formal decision letter on this case.

Please create a decision letter using the template, when finalised, tick against SEND so the respondent student receives a PDF document.

Could you please record the penalty decision agreed to by the DVC Registrar.

Manager, SAU

8.38 11A - Not found by Police - CMC to note and communicate with complainant

Dear CMR,

The respective Law Enforcement agency has now returned this case back to the University with the allegation not found outcome.

Please draft a communication to the respondent student.

After you have completed this step, the DVC Registrar will be notified of this outcome.
8.39  11B Indictable Offence withdrawn - DVCR's Nominee to provide a case direction

Dear Registrar Nominee,

The complainant has decided that they are not pursuing the indictable matter further with the Police and have withdrawn. Please see the attached documentation below for more information.

This case is now recommended to be dealt with under misconduct procedures in view of the serious nature of the incident.

Could you please click the appropriate decision button below to indicate if you wish to interview the student to determine the next course of action or you are of the view that this case should not be proceeded with?

Please include in your reply comments necessary for the case manager to communicate with the respondent if you wish to dismiss this complaint, or if you wish to interview the Respondent student.

Please provide the venue, date and time of interview and any other instructions to the respondent student in the returning email.

I look forward to receive your instructions.

Sincerely,
Student Affairs Unit

8.40  11CA - No further actions - CMC to implement decision

Dear CMC,

The Registrar or his nominee has determined that no further actions are to be taken on this complaint. By now, the Respondent would have received an email with the formal decision letter via email.

A system generated email will be sent to the complainant after you have complete this step to inform them the matter has been resolved. In most cases, this level of information back to the complainant is not adequate. In such instance, you will draft and send the COMPLAINANT an email outside of the workflow to include some explanation as to why the case could not be proceeded further and what other avenues the student might have.

You are required to save that email to the workflow using the document uploader before you completing your step.

Click Complete after you have attended to the above.

Manager, SAU
8.41 12 CMC to close off a case that was not proceeded

Dear CMC,

This is the last step for a complaint case that was not proceeded with.

Please leave this step open for approx. 10 working days to ensure you have the opportunity to include any further documentation or communication with the complainant, respondent and case handling stakeholders.

Use Document Uploader to upload any further documentation.

Please ensure the appropriate action has been taken to advise faculty where necessary to apply penalty and take the appropriate action in respect to the student’s transcript.

Please select one of the reason below to indicate why this case was not proceeded, then click Complete button to close off this case.

8.42 12 CMC to close off the case

Dear CMC,

This is the last step for a complaint case to be closed.

Please leave this step open for approx. 10 working days to ensure you have the opportunity to include any further documentation or communication with the complainant, respondent and case handling stakeholders.

Use Document Uploader to upload any further documentation.

Please ensure the appropriate action has been taken to advise faculty where necessary to apply penalty and take the appropriate action in respect to the student’s transcript.

8.43 12 CMR to close off the case

Dear CMR,

This is the last step for a complaint case to be closed.

Please leave this step open for approx. 10 working days to ensure you have the opportunity to include any further documentation or communication with the complainant, respondent and case handling stakeholders.

Use Document Uploader to upload any further documentation.

Please ensure the appropriate action has been taken to advise faculty where necessary to apply penalty and take the appropriate action in respect to the student’s transcript.
Dear colleagues,

Please do not forward this email to any other email account. The security of the system uses the email address to authenticate the sender. If you reply from a different email address, the system will not work.

A new complaint has been lodged.

Next Steps

Please:
1. Login into the workflow portal to review and determine next steps for this case, and
2. Click here to complete Respondent details if necessary.

You have half day to complete this task.

Kind Regards
Manager, SAU

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Dear Manager SAU,

A new complaint has been lodged.

Please log into the workflow portal, and acquire it from the Team Tray to review and nominate a case manager for this complaint - which could only be done in the workflow portal.

You have 24 hours to complete your nomination of a CMC.

Yours sincerely
Office of Deputy Vice-Chancellor Registrar
9.3 3Be Faculty or Admin matter – Manager, SAU to allocate a CMR

Dear Manager, SAU

The CMC has decided that this case should be referred to faculty or a business unit for review. Please nominate a CMR for this case.

Please log into the workflow portal to review and nominate a CMR - which could only be done in the workflow portal.

You have one day to complete your nomination.

Yours sincerely
Office of Deputy Vice-Chancellor Registrar

9.4 3De – Manager SAU – allocate a CMR for a complaint against a staff member

Dear Manager, SAU

The CMC has decided that this case should be referred to HR for investigation. Please nominate a CMR for this case.

Please log into the workflow portal, and acquire it from the Team Tray to review and nominate a CMR - which could only be done in the workflow portal.

You have one working day to complete your nomination.

Yours sincerely
Office of Deputy Vice-Chancellor Registrar
9.5 4be – FYI Case has been referred for investigation – email notification

Dear %currentpersondetails.givennames%,
Your reference number is: %TRIM:RecordNumber%

The Student Affairs Unit has recently received a complaint case concerning you as the complainant.

As your complaint involves an administration or faculty process, the complaint is being referred to the relevant area for information and review. This is may take approximately one month for this action. Your Case Manager will contact you should this time frame change.

If you have any questions or concerns, please contact your Case Manager %previouspersondetails.givennames% %previouspersondetails.lastname% on %previouspersondetails.deskphone% or email %previouspersondetails.email%.

DO NOT REPLY TO THIS E-MAIL.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au

9.6 4Ce – Decision Required – DVCR's Nominee to provide a case direction

Dear Registrar,
A complaint against student %UDF:Given_names% %UDF:Family_name% (SID: %UDF:FlexSIS SID Number%) has been assessed by a Student Affair's Case Manager. Please see the attached documentation below for more information.

Could you please click the appropriate link below to indicate if you wish to interview the student to determine the next course of actions or you are of the view that this case should not be proceeded with? Please include in your reply comments necessary for the case manager to communicate with the complainant if you wish to dismiss this complaint, or if you wish to interview the Respondent student, please provide the venue, date and time of interview and any other instructions to the respondent student in the returning email.
I look forward to receive your instructions.
Sincerely
Student Affairs Unit
9.7 4de – FYI – Your complaint has been referred for investigation – email

Dear %currentpersondetails.givennames%,

Your reference number is: %TRIM:RecordNumber%

The Student Affairs Unit has recently received a complaint case concerning you as the complainant.

This complaint has been forwarded to HR area for investigation.

If you have any concerns or issues, please contact the Student Affairs Unit.

DO NOT REPLY TO THIS E-MAIL.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au

9.8 4Fe – FYI – A Possible Indictable Offence – DVC Registrar to note

Dear DVC Registrar or his nominee,

This is a new case of allegation of prosecutable offence against a student%UDF:Given_names% %UDF:Family_name% (SID: %UDF:FlexSIS SID Number%).

The Case Manager of SAU is of the opinion that this case need to be reported to the law enforcement agencies.

FYI - This case is now being referred to the Office of General Counsel (OGC) for decision as to treatment. In the meantime, in accordance with the procedure no action will be taken by SAU until a direction from OGC is received.

All documentation can be found in TRIM file %TRIMContainer:RecordNumber%.

If you require additional information, please let me know.

Kind regards
Manager, SAU
Dear %currentpersondetails.givennames%,

Please do not forward this email to any other email account. The security of the system uses the email address to authenticate the sender. If you reply from a different email address, the system will not work.

Student Affairs Unit (SAU) – Request for information

Please review the all the relevant documentation and provide a response within 10 working days if possible or advise the SAU if it will take longer.

The SAU has received a complaint from a student in relation to your Faculty/unit, and is undertaking an assessment of this matter and is referring it for your consideration and response.

Attached below is the table under “All documents associated with this workflow” table. Click on the link to retrieve the documents from the Records Online. You may need to authenticate once again.

Next Steps

Please undertake the following steps in relation to this matter:

1. Review the case documentation linked below under the heading ‘all documents associated with this workflow’, and investigate the matters raised in the complaint.
2. Once you have reviewed the case documentation and have made any relevant enquiry, please advise the SAU by selecting one of the options in the table below to confirm your response on this complaint:
   a. Select Complaint reviewed no further action is to be taken - Select this option if your investigation reveals that the complaint has no basis to warrants further corrective action, please provide a written response that addresses the student’s concern. If available, please also attach any relevant supporting documentation.
   b. Select Valid Complaint Corrective Actions to be Applied - If your review has found that the matter requires further steps to be undertaken, please provide a written response that addresses the student’s concern and the further steps that have been or will be undertaken. If available, please also attach any relevant supporting documentation.
3. Once you click on one of the below links, an email will be generated. Please input your recommendation to SAU and/or attach further documentation. Send the email to finalise your action. Please do not click reply to this email, rather, using the outcome link to submit your response.

The SAU will consider the information and will contact you should any further information is required.

Regards,
Manager, SAU
9.10 5cae – A complaint case concerning you – case outcome email notification

DO NOT REPLY TO THIS E-MAIL.

Dear %currentpersondetails.givennames%,
Your reference number is: %TRIM:RecordNumber%

DO NOT REPLY TO THIS E-MAIL.

Further to our communication to you recently about a complaint case concerning you as the complainant.

This complaint has been assessed by the relevant personnel under the University’s STUDENT COMPLAINTS PROCEDURES 2015.

I wish to advise that this complaint case has been dismissed.

If you have any questions or concerns about this decision, please contact us on 61 1800 793 864 or email studentaffairs@sydney.edu.au.

Yours sincerely,
Student Affairs Unit
studentaffairs@sydney.edu.au

9.11 5Ce – Manager SAU to allocate a CMR for student respondent

Dear Manager SAU,

The DVC Registrar or his nominee has decided to interview the respondent student.

Please nominate a CMR for this case.

Please log into the workflow portal, acquire this case from your Team Tray to review and nominate a case manager for this complaint - which could only be done in the workflow portal

You have four (4) hours to complete your nomination of a CMC.

Yours sincerely
Office of Deputy Vice-Chancellor Registrar
Dear %currentpersondetails.givennames%,

Please do not forward this email to any other email account. The security of the system uses the email address to authenticate the sender. If you reply from a different email address, the system will not work.

Student Affairs Unit (SAU) Complaint Referral

You have 45 working days to complete this investigation.

The case concerning a student complaining against a member of staff has been referred for your consideration. Attached below is the table under All documents associated with this workflow table. Click on the link to retrieve the documents from the Records Online. You may need to authenticate once again.

Next Steps

1. Review the case documentation linked below, and make the necessary investigation.
2. Once you have finalised the HR responsibilities and uploaded your Investigation Plan and your report of findings and recommendations for the Student Affairs Unit, select one of the decision links below to confirm the outcome

Please do not click reply button on the email, rather, using the outcome link to submit your response.

Once you click on one of the below outcome links, a return email will be generated. Please attach the required documentation, and you may input your further comments if you wish.

Click Send to finalise your action.

The case will then be forwarded to a case manager of SAU for consideration. They may or may not come back to you for further clarifications.

Kind regards

Manager, SAU
9.13 5De – FYI – Manager, Case Management – a new student complaint has been referred

Dear Manager, Case Management Group HR,

Please do not forward this email to another email account.

A new case of student complaint against the conduct of a member of staff has been referred to your colleague %nextpersondetails.lastname% %nextpersondetails.givennames% for investigation.

The complaining category(ies) have identified is/are: %UDF:WORKFLOW:Complaint Type%

Case file for this matter is %TRIMContainer:RecordNumber%.

DO NOT REPLY TO THIS E-MAIL.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au

9.14 5Fe – Possible Indictable Offence (Student) – SAU Manager to allocate a CMR

Dear Manager SAU,

The Office of General Counsel is of the view that the nature of the complaint against a student is serious enough to be treated as a possible indictable offence.

Please nominate a CMR for this case.

Please log into the workflow portal to review and nominate a case manager for this complaint - which could only be done in the workflow portal. You will need to acquire this from the Team Tray.

You have four (4) hours to complete your nomination of a CMC.

Yours sincerely
Office of Deputy Vice-Chancellor Registrar
9.15  6Ce - Possible Student Misconduct - Letter required to inform the interview with DVCR

Dear Dominic,

This is a new allegation of possible misconduct complaint against a student. DVC Registrar or his nominee has decided to interview the student.

The case file in RecordsOnline is E17-123 can be accessed by clicking this link https://recordsonline.sydney.edu.au/rol/properties/1234567890.

Please forward this email to a suitable solicitor to prepare an allegation letter to the student. This letter will be modified by a Case Manager in SAU with Preliminary Meeting appointment date and time, and will be sent to the student under the signature of the DVC Registrar.

They will need to log into the workflow portal https://recordsonline2.sydney.edu.au/workflowportal/Content/InTray.aspx to complete this task within three working days.

Yours sincerely,

DVC Registrar

9.16  7be Faculty or Admin cases - your case outcome

Dear %currentpersondetails.givennames%,

Your reference number is: %TRIM:RecordNumber%,

Thank you for lodging your complaints with the University.

I trust that your complaint has been satisfactorily resolved.

If you have any further concerns or issues, please contact the Student Affairs Unit.

DO NOT REPLY TO THIS E-MAIL.

Yours sincerely,

Manager, Student Affairs Unit
studentaffairs@sydney.edu.au
9.17 7CBe - Proceed to Investigation - CMC to note

Dear %currentpersondetails.givennames%,

Please be advised this case has progressed through a preliminary meeting and as a result is now been referred to an investigator.

By now, the complainant and respondent students will have been notified by the system.

Regards

Manager, SAU

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9.18 7de - Notifying student the outcome of the compliant referred to HR

Dear %currentpersondetails.givennames%,

Your reference number is: %TRIM:RecordNumber%,

Thank you for lodging your complaints with the University.

I trust that your complaint has been satisfactorily resolved.

If you have any further concerns or issues, please contact the Student Affairs Unit.

DO NOT REPLY TO THIS E-MAIL.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au
9.19 7Fe ACTION REQUIRED - Student Complaint - possible indictable - OGC to provide case direction

Dear Dominic

The Student Affairs Unit has received a complaint that has been considered possible indictable offence by a student.

The case file in RecordsOnline is E17-123 can be accessed by clicking this link https://recordsonline.sydney.edu.au/rol/properties/1234567890.

Could you please forward this email to a member of your team, who will need to acquire this task in the TRIM workflow portal, and complete it within 5 working days.

DVC Registrar

9.20 8cbe Complainant – your complaint has been referred to Investigation

Dear %currentpersondetails.givennames%

DO NOT REPLY TO THIS E-MAIL.

Your reference number is: %TRIM:RecordNumber%.

In respect to your complaint case and SAU and DVC Registrar considerations the following update is provided.

As your complaint involves alleged misconduct, the complaint is being referred for formal investigation. This is may take approximately 1-2 months for this investigation. Your Case Manager will contact you should this time frame change.

You will be notified of the outcome and consequent Registrar’s decision in due course.

In the meantime, if you have concerns, please contact your case manager %previouspersondetails.givennames% %previouspersondetails.lastname% on %previouspersondetails.des kphone%, or email %previouspersondetails.email%.

Yours sincerely
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au
9.21 8CDe – ACTION REQUIRED – DVC Registrar would like you to investigate a complaint case

Dear Dominic,

This is an allegation of possible misconduct complaint against a student. DVC Registrar or his nominee would like this case to be investigated by OGC.

The case file in RecordsOnline is E14-123 can be accessed by clicking this link https://recordsonline.sydney.edu.au/rol/properties/1234567890.

Please forward this email to a suitable solicitor to commence the investigation.

They will need to log into the workflow portal https://recordsonline2.sydney.edu.au/workflowportal/Content/InTray.aspx to complete this task within 40 days.

Yours sincerely,
DVC Registrar

9.22 8Fe Action Required - OGC to provide outcome of an indictable case

Dear Dominic,

Previously you have assigned this case to a member of your team, who has since referred this case to the Police.

The case file in RecordsOnline is E14-123 can be accessed by clicking this link https://recordsonline.sydney.edu.au/rol/properties/1234567890.

This task is now back with the same lawyer to liaise with the Police and record the outcome in due course.

They will need to log into the workflow portal https://recordsonline2.sydney.edu.au/workflowportal/Content/InTray.aspx to complete this task within 40 days.

Yours sincerely,
DVC Registrar
9.23  9Ae - Not Found by Police - DVC Registrar to note

Dear DVC Registrar,

Previously, I have informed you of a possible indictable offence by %UDF:Given_names% %UDF:Family_name% (SID: %UDF:FlexSIS SID Number%).

I am advised that this case has not been found. Documentation regarding this case can be found %TRIMContainer:RecordNumber%.

FYI.

If you have any questions at all about this case, please do not hesitate to contact me.

Kind regards
Manager, SAU

9.24  9CBe - Decision Required - DVC's Nominee to determine an investigated case

Dear %currentpersondetails.givennames%,

Please do not forward this email to any other email account. The security of the system uses the email address to authenticate the sender. If you reply from a different email address, the system will not work.

Recently, an investigator has been appointed to conduct an investigation after you or your nominee met with the respondent student %UDF:Given_names% %UDF:Family_name% (SID: %UDF:FlexSIS SID Number%).

Attached please find the recommendation document for you to make a formal determination on this case. Supporting this recommendation are pertinent documents from the investigation phase.

Could you please provide your determination of this case by select one of the decision link below.

Thanks
Manager, SAU
9.25  10Be - FYI - Complainant Withdrawn from indictable offence - DVC Registrar to note

Dear Registrar,

This is an update to a case where the Office of General Counsel has referred to the Police for action concerning respondent student %UDF:Given_names% %UDF:Family_name% (SID: %UDF:FlexSIS SID Number% ).

Please be advised that the complainant has expressed their wish to not to proceed further with the Police investigation.

As this case reflects a serious incident the recommendation is this case be dealt under the provisions of DVC Registrar to formulate a report of misconduct on their own motion under of the student discipline rules.

I recommend an appointment be made for you to discuss the allegation with the Respondent student as a preliminary meeting of the Misconduct procedures.

Thanks
Manager, SAU

9.26  10cce Proceed to penalty (DVCR) - email notification to Complainant

Dear %currentpersondetails.givennames%,
Your reference number is: %TRIM:RecordNumber%

DO NOT REPLY TO THIS E-MAIL.

After careful consideration, the DVC Registrar decided that penalty is to be applied.

If you have any further concerns or queries, please contact your case manager %nextpersondetails.givennames% %nextpersondetails.lastname% on %nextpersondetails.deskphone% or email: %nextpersondetails.email%, quoting your reference number above.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au
9.27 10cde Proceed to penalty (VC) - email notification to complainant

Dear %currentpersondetails.givennames%,
Your reference number is: %TRIM:RecordNumber%

DO NOT REPLY TO THIS E-MAIL.

After careful consideration, the DVC Registrar decided that penalty is to be applied. If you have any further concerns or queries, please contact your case manager %nextpersondetails.givennames% %nextpersondetails.lastname% on %nextpersondetails.deskphone% or email: %nextpersondetails.email%, quoting your reference number above.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au

9.28 10Fe FYI - DVC Registrar to Note the outcome from Police

Dear Registrar,

OGC has returned their investigation outcome on an indictable case.

The relevant documents could be found in %TRIMContainer:RecordNumber%.

Given the nature of this case, I will liaise with your EA to organise a meeting for you to meet with the respondent student %UDF:Given_names% %UDF:Family_name% (SID: %UDF:FlexSIS SID Number%) to discuss the due penalty(ies) to be applied to the respondent student by the University. In this context, I would be grateful if you could approve and sign my draft letter %UDF:WORKFLOW:Workflow:FlaggedDocNumbers%.

If you have any questions at all, please let me know.

Thanks
Manager, SAU
9.29  11ae - Your complaint outcome

Dear %currentpersondetails.givennames%,
Your reference number is: %TRIM:RecordNumber%

DO NOT REPLY TO THIS E-MAIL

I would like to inform you the outcome of this complaint you have lodged.

This case has been investigated by the NSW Police. The University has informed by the Police that the allegations were Not Found.

The University would like to let you know that the University now considers this complaint has been dealt with, and there will be no further action taken.

If you have any queries or concerns at all, please contact your case manager, %previouspersondetails.givennames% %previouspersondetails.lastname%, via telephone: %previouspersondetails.deskphone% or via email: %previouspersondetails.email%.

I wish you well with your study.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au
9.30  11Be Action Required - DVCR's Nominee to direct an Indictable Offence withdrawn case

Dear %currentpersondetails.givennames%,

Please do not forward this email to any other email account. The security of the system uses the email address to authenticate the sender. If you reply from a different email address, the system will not work.

The complainant has decided that they are not pursuing the indictable matter further with the Police and have withdrawn. Please see the attached documentation below for more information.

This case is now recommended to be dealt with under misconduct procedures in view of the serious nature of the incident.

Could you please click the appropriate link below to indicate if you wish to interview the student to determine the next course of action or you are of the view that this case should be not be proceeded with?

Please include in your reply comments necessary for the case manager to communicate with the respondent if you wish to dismiss this complaint, or if you wish to interview the Respondent student.

Please provide the venue, date and time of interview and any other instructions to the respondent student in the returning email.

I look forward to receive your instructions.

Sincerely
Student Affairs Unit

9.31  11be - You have withdrawn your complaint

Dear %currentpersondetails.givennames%,

Your reference number is: %TRIM:RecordNumber%

DO NOT REPLY TO THIS E-MAIL.

The University has noted your notification that you are no longer wish to pursue or be involved with your complaint. Accordingly, from your involvement the complaint case will be considered closed with the status Withdrawn.

This will be the last communication from the Student Affairs Unit about this particular complaint. We wish you well with your study.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au
9.32  11cae No further actions - email notification to complainant

Dear %currentpersondetails.givennames%,
Your reference number is: %TRIM:RecordNumber%

DO NOT REPLY TO THIS E-MAIL

I refer to a recent complaint received by the Student Affairs Unit concerning you as the complainant.

This is to advise that your complaint has been actioned and investigated with a conclusion that no further action is to be taken by the Student Affairs Unit and the case will now be closed

If you have any concerns or require further information, please contact your Case Manager, %previouspersondetails.givennames% %previouspersondetails.lastname% on %previouspersondetails.deskphone% or via email %previouspersondetails.email%.

Yours sincerely,
Manager, Student Affairs Unit
studentaffairs@sydney.edu.au