Control of Fraud and Corruption Policy

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<tr>
<th>Responsible Officer</th>
<th>Chief Operating Officer</th>
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<tr>
<td>Approved by</td>
<td>Vice-Chancellor</td>
</tr>
<tr>
<td>Approved and commenced</td>
<td>May, 2018</td>
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<tr>
<td>Review by</td>
<td>May, 2021</td>
</tr>
<tr>
<td>Relevant Legislation, Ordinance, Rule and/or Governance Level Principle</td>
<td>University of Tasmania Act 1992 (Tasmania) Public Interest Disclosures Act 2002 (Tasmania) University Council Charter Ordinance 13 – Academic Senate GLP 2 – Risk Management</td>
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<td>Responsible Organisational Unit</td>
<td>Audit &amp; Risk</td>
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Contents

1  Objective ................................................................................................................................. 2
2  Scope ...................................................................................................................................... 2
3  Policy Provisions ..................................................................................................................... 2
3.1  Ethical Environment ........................................................................................................... 2
3.2  Fraud Control ....................................................................................................................... 2
3.3  Whistleblower Protection ...................................................................................................... 3
4  Responsibilities ....................................................................................................................... 3
5  Definitions and Acronyms ...................................................................................................... 3
6  Supporting Documentation ....................................................................................................... 4
7  Versioning ................................................................................................................................. 4
1 Objective

The objectives of this Policy are to:

- Foster an ethical culture across the University of Tasmania led by the University Executive Team in terms of
  - honest and ethical behaviour;
  - transparent dealings;
  - work practices of integrity and objectivity
- Support the establishment of an appropriate fraud risk register with relevant fraud and corruption controls
- Provide a commitment to the principles of whistleblower protection.

2 Scope

This policy applies to all members of the University community and to University controlled entities and partnerships. It applies in all dealings whether individually, collectively or corporately.

3 Policy Provisions

3.1 Ethical Environment

The University is committed to preventing fraud and corruption within the University and its controlled entities.

All members of the University community and its controlled entities will adopt, promote and demonstrate ethical behaviour through their work practice and in accordance with the University Behaviour Policy.

The University ethical environment requires individual staff members to accept responsibility for their own professional behaviour as well as supporting others in adopting ethical practices.

If a staff member is in doubt as to the appropriate course of action in a matter, they should discuss the matter in accordance with the University Behaviour Procedure.

The University will support individual staff members to act ethically in all dealings and in so doing take a positive step to avoiding a breach of discipline and/or a potential criminal offence.

3.2 Fraud Control

The University will maintain a Fraud and Corruption Risk Register supported by a Fraud Control Plan.

The plan will include elements of resourcing, prevention, detection and response to fraud.
3.3 Whistleblower Protection

The University is committed to the principles of Whistleblower Protection.

This commitment will be supported by action to establish and maintain whistleblower protection.

Protected disclosure advice will also be available through the University Secretary.

3.4 Responsibilities

Responsibilities are identified in the University of Tasmania Fraud Control Plan.

4 Definitions and Acronyms

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<tr>
<th>Term/Acronym</th>
<th>Definition</th>
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<tr>
<td><strong>Organisational Unit</strong></td>
<td>Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.</td>
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<tr>
<td><strong>Corruption</strong> (from Australian Standard AS 8001)</td>
<td>Dishonest activity in which a director, executive, manager, employee or contractor of an entity acts contrary to the interests of the entity and abuses his/her position of trust in order to achieve some personal gain for him or herself or for another person or entity. For the purposes of this policy this definition has been broadened to include students and other members of the University community.</td>
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<td><strong>Fraud</strong> (from Australian Standard AS 8001)</td>
<td>Dishonest activity causing actual or potential financial loss to any person or entity including theft of moneys or other property by employees or persons external to the entity and where deception is used at the time, immediately before or immediately following the activity. This also includes the deliberate falsification, concealment, destruction or use of falsified documentation used or intended for use for a normal business purpose or the improper use of information or position for personal financial benefit. For the purposes of this policy, the definition has been broadened to include: an intentional or deliberate act to deprive the University or a person of something of value or to gain an unfair benefit using deception, false suggestions, suppression of truth or other unfair means which are believed or relied upon.</td>
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5 Supporting Documentation

- Australian Standard - AS 8001 – 2008 Fraud and Corruption Control
- University of Tasmania Fraud and Corruption Risk Register
- Risk Management Policy including Risk Rating Matrix
- Fraud Control Plan
- University Behaviour Policy
- University Behaviour Procedure

6 Versioning

| Former Version(s)                                      | Version 1 – *Control of Fraud and Corruption Policy*, approved November, 2007; reviewed, 2010-2011.
|                                                     | Version 2 – *Control of Fraud and Corruption Policy* (current document); approved September, 2011.
|                                                     | Version 4 – remove Fraud and Corruption Control Plan and create as standalone document. Remove reference to Fraud Reporting and Investigation Procedure as this is now incorporated within the Plan.