

New: Control of Fraud and Corruption

<http://www.utas.edu.au/universitycouncil/policyframework/policies/corp6.1.pdf>

Key Points:

- Approved by Audit Committee
- In order to protect UTAS financial systems, resources, assets and the honesty and integrity of staff, UTAS has put in place processes to control fraud and corruption and to minimise the risk and impact of such activities.
- **Fraud and Corrupt Activities include:**
 - Theft of assets such as equipment, consumables or supplies, intellectual property, cash, information or time.
 - Unauthorised use for private purposes of motor vehicles, equipment, secretarial and other support or confidential information.

- Use of position to conduct corrupt practices such as bribery, secret commissions or personal benefits, improper use of privileged information or favouritism in staff appointments.
- Sale or disposal of assets, information or services at less than fair value, including low pricing, excessive discounts or writing off debts.
- Diversion of assets – the invalid authorisation of transactions to gain fraudulent access to funds.
- Payments for goods and services not required or received or at excessive prices including fictitious employees on the payroll, ordering equipment for personal use which is paid for by UTAS, falsifying/overstating travel claims or ‘double dipping’.
- Falsification of records – the amendment of both paper and electronic records or processing false documents leading to fraud or concealment of fraud.

•Reporting, investigation and action

- Staff members or students who have a reasonable basis for suspecting a fraudulent or corrupt act has taken place, have a responsibility to notify promptly, one of the following:
 - Director Governance and Legal (DGL)
 - Relevant Head of Budget Centre (Head)
 - Director Human Resources (DHR)
- The DGL, DHR and Head will review the evidence available and based on the evidence a decision will be made as to whether to initiate formal disciplinary action or to undertake further investigation of the allegations.
- For allegations against a member of staff, the formal disciplinary action will be taken in accordance with the relevant Termination of Employment and Disciplinary Action Procedures contained in the HR Manual.
- For allegations against a student, the formal disciplinary action will be taken in accordance with the Ordinance of Student Discipline.

- **Protection of employees reporting suspected fraud**

UTAS will make every effort to protect staff and students who notify management of suspected fraudulent and corrupt activity from any form of threat or reprisal.

- **Anonymous Reporting**

UTAS will put in place procedures to make disclosure anonymously.

- **Reporting to law enforcement agencies**

The DGL, along with the VC, will make a decision whether to prosecute any matter.

For any enquiries or assistance with this policy please contact Governance & Legal – 6226 2005.

Policy with complete details can be found at:

<http://www.utas.edu.au/universitycouncil/policyframework/policies/corp6.1.pdf>

Amended – Travel Policy

http://www.utas.edu.au/docs/fin_services/policies/policy_11-10.html

Key points:

- **Premium Economy Class**

- Class of Travel

- The University requires that all travel by air on official business will be at economy class rates with the following exceptions:

- VC, DVC, PVC, EDFA, Deans, Heads of Institutes, or staff at or above an equivalent level, may after taking into account:

- The nature of the travel,

- The distance travelled,

- The pressure and nature of the business conducted,

Travel premium economy or business class within Australia or overseas.

- The VC or EDFA may approve a different class of travel for other staff for a particular journey on a case by case basis, taking account of:
 - The nature of the travel
 - The distance travelled
 - The pressure and nature of the business conducted
 - The frequency a staff member is required to travel internationally as part of their job
 - The complexity of the journey (eg where the travel itinerary is arduous)
 - The need for flexibility in the travel itinerary and/or
 - There are other unusual circumstances such as medical conditions.

Draft: Student Contribution and Tuition Fee Scholarship and Waivers Policy

The policy will manage the approval, establishment and operation of scholarships and fee waivers that affect liabilities for student contributions and tuition fees.

The draft policy includes procedures and guidelines for approval and establishment of scholarships and fee waivers.

Principles:

- Must have strategic or cost benefit value to UTAS or have a 'eleemosynary' purpose.
- All students must pay their student contributions or tuition fees unless they have been awarded an approved scholarship or waiver.
- The costs of all scholarships or waivers must be met by an external or internal source of funds.
- The financial recording of scholarships and waivers must be auditable.

- All scholarships and waivers must be administered under approved rules.
- The procedures for establishing a scholarship or waiver will align the authority for approval with the management responsibility for the administration of them.
- The rules of all scholarships or waivers must assure that the process of awarding them is equitable and transparent.
- The availability of scholarships and waivers and the criteria under which they are awarded must be promoted to all eligible students.
- Scholarships and waivers will not be awarded concurrently where a compound benefit would result for a student.

Draft Procedures

1. Identify requirement for scholarship and waiver and its relative cost/benefit. Responsibility/Approval authority – VC or delegate.
2. Document rules for the scholarship or waiver – Delegated approver.
3. Approve the scholarship or waiver – Delegated approver.
4. Set up project for costs in the FMIS – School/Faculty/Division with Financial Services.
5. Complete scholarship / waiver code request – School/Faculty/Division.
6. Set up scholarship / waiver code in the USRS and Fees Module – Enrolment and Fees Unit.
7. Provide report on scholarship or waiver recipients to Planning and Resources Committee – Enrolment and Fees Unit.

Policy expected to commence 2009 and the Enrolment and Fees Unit of Student and Academic Services will have the responsibility for day to day operation of the procedures.