

5.2 FRAUD CONTROL POLICY

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| Version | 1.01 |
| Contact Officer | Manager, Governance |
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| Date Last Amended | |
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| Related Policies | 2.0 Quality Policy, 3.3 Academic & Scientific Misconduct Policy, 4.0 Risk Management Policy, 5.0 Internal Control Policy |
| Relevant Legislation | |



PURPOSE

This policy provides the framework to manage fraud controls in the performance of Charles Darwin University's activities to meet the requirements of Charles Darwin University's Internal Control Policy. For matters specifically relating to academic fraud, the Plagiarism Policy is also relevant.

POLICY

Charles Darwin University will implement controls for the prevention and detection of fraud. The University will also take steps to ensure that staff and students know of their obligations in relation to fraud, including identification and reporting of suspected fraud.

IMPLEMENTATION

This policy will be implemented in a way that ensures:

- compliance with relevant legislative requirements, standards and prevailing community standards of best practice;
- compliance with the University Quality Policy;
- the investigation process is fair to both the person suspected of fraud and the person or people who suspect fraud has occurred;
- particularly in cases of plagiarism, the academic standards of the University are upheld; and
- there is adequate training and available information;

COMMITMENT

Charles Darwin University is committed to:

- achieving and demonstrating achievement of this policy through its monitoring and audit programs, and
- investigating and reporting on the status of fraud control and findings within Charles Darwin University in accordance with the University's Fraud Control Plan.

GENERAL RESPONSIBILITIES AND AUTHORITIES

- All staff members are responsible for undertaking their duties in accordance with this policy.
- Respective responsibility for the achievement of this policy rests with the Council, the Audit and Risk Committee, the Vice Chancellor, Senior Staff, the Internal Audit function and all other staff.

SPECIFIC RESPONSIBILITIES AND AUTHORITIES

- The Executive Director, Corporate Services, is responsible for organising fraud detection and control and associated internal audit activities on advice and request from the Audit and Risk Committee of Council or instruction from the Vice Chancellor. The Executive Director, Corporate Services, is also responsible for monitoring that such activities are carried out, as appropriate, in compliance with relevant University policies, processes and guidelines.

- The Chief Financial Officer is responsible for organising fraud detection and control measures in relation to University financial operations, on advice and instruction from the Audit and Risk Committee of Council and other relevant auditing bodies. The Chief Financial Officer, is also responsible for monitoring that such activities are carried out, as appropriate, in compliance with relevant University policies, processes and guidelines.
- The Dean of a Faculty / Director, VET is responsible for ensuring the Fraud Control Policy is implemented in that faculty, and for monitoring its observance. The Deputy Vice Chancellor, Research, is responsible for ensuring the Fraud Control Policy is implemented within the Institute of Advanced Studies, and for monitoring its observance in the Institute.
- Heads of areas (schools, industry cluster, divisions and other organisational units) are responsible for ensuring compliance with the Fraud Control Policy in local-level activities.

Professor Helen Garnett
Vice-Chancellor

Date

Document History and Version Control

| Version | Date Approved | Approved by | Brief Description |
|---------|-----------------|-----------------|---|
| 1.00 | 4 May 2005 | Council | CDU Policy |
| 1.01 | 24 October 2007 | Vice-Chancellor | Inclusion of new position titles throughout the document which reflect the new VET structure EG: Director VET, NT Industry Clusters. |