
Version	2.1
Short description	A policy on fraud prevention
Relevant to	All employees
Authority	Council
Policy owner	Chief Financial & Operations Officer
Responsible office	The office of the Chief Financial & Operations Officer
Date approved	May 2020
Date effective	May 2020
Review due	May 2025
Related Avondale documents	Whistleblower Protection Policy Academic Integrity Policy Code of Conduct (Staff)
Related legislation	
Key words	Fraud Policy

1. PURPOSE

1.1 The application of this policy is intended to deter and prevent the likelihood of fraud at Avondale University and outline how cases of fraud shall be dealt with when detected.

2. SCOPE

2.1 This policy applies to all employees, volunteers, contractors and associated academic staff of Avondale University Limited (Avondale) It is addressing any irregularity or suspected irregularity involving employees, officers, directors, consultants, vendors, contractors, outside agencies and/or any other parties having a business relationship with Avondale.

2.2 It does not extend to include:

- a) Matters relating to alleged Academic Fraud, which are separately covered under the provisions of Avondale's Academic Integrity Policy and Code of Conduct.
- b) Irregularities concerning an employee's moral, ethical or behavioural conduct. These shall be resolved by the employee's Manager in consultation with the People & Culture Manager.

3. RATIONALE

3.1 This policy is established to facilitate the development of controls that will aid in the detection and prevention of fraud against Avondale. It will promote consistent organisational behaviour by providing guidelines and assigning responsibility for the development of controls and the conduct of investigations pertaining to fraud in a fair and consistent manner.

4. DEFINITIONS

4.1 **Associated Academic staff** – includes all sessional, conjoined and adjunct academic staff.

4.2 **Fraud** – The use of dishonest or deceitful means to obtain an unjust advantage.

4.3 **Embezzlement, misappropriation, and other fiscal irregularities** – include, but are not limited to:

- a) Any dishonest or fraudulent act,
- b) Misappropriation of funds, securities, property or other assets,
- c) Impropriety in the handling or reporting of money or financial transactions,
- d) Profiteering as a result of insider knowledge of Avondale transactions,
- e) Disclosing confidential and proprietary information to third parties,
- f) Disclosing to other persons, confidential information pertaining to activities either undertaken or contemplated by Avondale,
- g) Accepting or seeking anything of material value from contractors, vendors or persons in relation to the provision of services or materials to Avondale (but not including one-off gifts of less than \$100 in value),

- h) The unauthorised destruction, removal, or inappropriate use of Avondale's records, assets or services,
- i) Any similar or related irregularity.

5. RESPONSIBILITIES

Executive Officers, Managers and Directors

- 5.1 Executive Officers, Managers, and Directors are responsible for the detection and prevention of fraud, misappropriation and other irregularities within Avondale's operations. They shall:
- a) Familiarise themselves with the types of improprieties that could occur within their area of responsibility,
 - b) Put in place such measures as are necessary to minimise the likelihood of fraud, embezzlement, misappropriation, or other fiscal irregularity,
 - c) Be alert for and respond appropriately to any indication of an irregularity.

Employees

- 5.2 Any employee who suspects dishonest or fraudulent activity shall immediately notify the Chief. Financial & Operations Officer or the People & Culture Manager.
- 5.3 An employee making an allegation that is vexatious, frivolous or not in good faith shall be subjected to discipline under Avondale's Code of Conduct. This may lead to termination or other legal means required to protect the reputation of any person wrongly accused.

Chief Financial & Operations Officer

- 5.4 The Chief Financial & Operations Officer has primary responsibility for the investigation of all suspected fraudulent acts defined in this policy.
- 5.5 If an investigation substantiates an allegation that fraudulent activities have occurred it will be reported to the Vice Chancellor and, if appropriate, Avondale University Council.
- 5.6 A decision to refer findings and associated evidence to the appropriate law enforcement and/or regulatory agencies for an independent investigation will be made after seeking legal counsel, and in consultation with the Vice Chancellor, Chief Financial & Operations Officer, Provost, and People & Culture Manager.

6. CONFIDENTIALITY

- 6.1 All information received shall be treated with the strictest of confidence.
- 6.2 Avondale shall take necessary steps to protect the identity and reputation of an employee who makes a report or allegation of fraud in good faith, and in accordance with the provisions of Avondale's Whistle-blower Protection Policy,
- 6.3 Any investigation shall be carried out in a sensitive manner and all information collected during the course of the investigation shall be treated as confidential,
- 6.4 The results of any investigation shall not be disclosed to or discussed with anyone other than those who have a legitimate need to know.

7. INVESTIGATION PROCEDURES

- 7.1 Great care must be taken when conducting an investigation in order to:
- a) Avoid forming an incorrect conclusion, or
 - b) Not alert individuals who are the subject, that an investigation is being conducted.
- 1.1. Legal counsel should be obtained as soon as it becomes apparent that an allegation has substance in order to ensure that proper and legal investigative procedures are followed.
- 1.2. Where appropriate the employee should be suspended from duty pending the results of the investigation.
- 1.3. All evidence shall be kept secure to enable it to be provided to relevant law enforcement or regulatory agency if required.

8. DISCIPLINARY ACTION/TERMINATION

- 8.1 Should an investigation result in a recommendation to take disciplinary action or terminate an individual, this recommendation shall be reviewed by the People & Culture Manager in consultation with the Vice-Chancellor. Legal counsel may be sought before making a final decision.
- 8.2 The decision to terminate an employee will be made by the Vice-Chancellor.
- 8.3 If the person in question is the Vice-Chancellor, Chief Financial & Operations Officer or a Provost, termination will be by action of the Avondale University Council.
- 8.4 If the person is an Avondale University Member a recommendation for dismissal from Avondale University will be taken to the members of the company for determination.
- 8.5 Notwithstanding termination, where it is alleged that an employee has committed a criminal offence the matter shall be referred to the appropriate authority.

Table of amendments

Version Number	2.1	Replaces Version	2.0
Implementation Date	May 2020	Scheduled Review Date	May 2025
Approving Body	Avondale University Council	Approval Date	May 2020
Policy Owner	Chief Financial & Operations Officer	Date first introduced	29 April 2014
Short description of amendment	V2.1 March 2023: updated branding, nomenclature and position titles, as relevant. V2.0 Change of company name, updating and reformatting		