

## SCHEDULE A: AREAS AT RISK OF FRAUD AND CORRUPTION

The following areas and activities are highlighted because of they are particularly exposed to these risks.

AREA OR FUNCTION	EXAMPLES
Misuse of University assets and monies	<p>Use of Deakin funds or resources for personal use and not reimbursed;</p> <p>Unauthorised sale of Deakin assets for personal gain or sale at values that are not arms length;</p> <p>Theft of Deakin property such as cash and equipment;</p> <p>Dishonestly using the University's computers, vehicles, telephones, credit cards, cab vouchers and other property and services;</p> <p>Causing a loss to the University that is dishonest; or avoiding or creating a liability for the University by deception;</p> <p>Dishonestly using grant or research funds or scholarships.</p>
Travel	<p>Claiming for a travel entitlement to attend a course and then not attending the course and not reimbursing travel monies;</p> <p>Luxurious or excessive expenditure;</p> <p>Inflated and/or faked expense claims;</p> <p>Undertaking travel under the guise of a business purpose when the facts would clearly show that the dominant purpose and expenditure of time was for private holiday.</p>
IT Assets and Security	<p>Misappropriation or the unauthorised or unlawful destruction of data;</p> <p>Unauthorised or unlawful alteration of data;</p> <p>Accepting bribes for admission of students or creating fraudulent transcripts for students.</p>
Regulatory Compliance	<p>Providing false or misleading information to agencies such as the Ombudsman, Victorian Auditor General's Office (VAGO);</p> <p>Failing to provide information where there is a legal obligation to do so.</p>
Contract Management	<p>Receiving kickbacks or secret commissions from a contractor;</p> <p>Accepting hospitality from suppliers which hospitality is deemed to be excessive and not incidental;</p>

	<p>Incorrect charging for labour and material, misuse of assets or product substitution (substituting a product for one of lesser quality).</p>
Tendering	<p>Collusive tendering (the act of multiple tenderers for a particular contract colluding in the preparation of their bids;</p> <p>A Deakin staff member manipulating a tendering process to achieve a desired outcome;</p> <p>Accept a payment, gift or hospitality from a third party if they know or suspect that it is offered or provided with an expectation that a business advantage will be provided to them in return.</p>
Cheques, Credit Cards EFTPOS	<p>Using a University credit card for personal expenses and claiming them as University related;</p> <p>Unauthorised use of a credit card or a credit card number issued to another person;</p> <p>Making or using forged or falsified documents or signatures.</p>
Procurement and accounts payable	<p>Receiving 'kickbacks' or secret commissions from a contractor;</p> <p>Misappropriating official order forms to gain a personal benefit;</p> <p>Making cheques out to false persons;</p> <p>False invoicing involving a staff member of the University or a person external to the University creating a fictitious invoice, claiming payment for goods or services not delivered or exaggerating the value of goods delivered or services provided.</p>
Conflicts of Interest	<p>Conflict of interest involving a Deakin staff member acting in his or her own self-interest rather than the interests of the University;</p> <p>Failure to disclose an actual, perceived or personal conflict of interest contrary to the <a href="#">Code of Conduct</a> and the <a href="#">Conflict of Interest procedure</a>;</p> <p>Allowing a conflict of interest to undermine your independence;</p> <p>Nepotism and cronyism.</p>
Human Resource Management	<p>Misuse of University time;</p> <p>Misuse of personal or sick leave;</p> <p>Failing to apply for leave taken;</p> <p>Receiving personal benefits in exchange for assisting a consultant to gain work at the University;</p>

	<p>Payment of secret commissions to a University staff member that is related to a specific action or decision of the University staff member;</p> <p>Receiving kickbacks or secret commissions from a contractor;</p> <p>Submission of exaggerated or wholly fictitious accident, harassment or injury claims.</p>
Student Admission and Records	<p>Evasion of fees due to the University;</p> <p>Making, using or possessing forged or falsified documents such as Degrees and Academic Records.</p>