



Fraud and Corruption Prevention Checklist

DMP's approach to managing the risks of fraud and corruption is underpinned by a whole-of-organisation policy framework, with appropriate benchmarking against established best-practice prevention programs and standards.

Risk Assessment

- Each business area must systematically identify, assess and review fraud and corruption risks in line with the Department's Risk Management Policy and Framework
- The most important outcome of the fraud and corruption risk assessment process is the development of a treatment plan that specifically addresses the risks faced

Implement and Maintain an Integrity Framework

- Corruption prevention principles form an integral part of corporate, strategic and operational planning processes and objectives
- Corruption prevention principles are applied as part of all project planning, agency restructure, business processes and service review processes
- Arrangements are in place that ensure effective ongoing scrutiny by executive management, internal audit and audit committee, of the effectiveness of the plan
- Independent reviews are undertaken of the operation and effectiveness of all internal control systems to ensure they adequately prevent, deter and detect fraud and corruption

Fraud Control Governance Arrangements

- The Executive Director of Corporate Support is the central point of contact for fraud control policies within DMP
- The fraud and corruption control plan communicates DMP's commitment to fraud and corruption control, setting out the executive management's approach to preventing, detecting and responding to fraud and corruption

Training and Awareness

- Mandatory training through the Department's induction program and the Workplace Conduct and Awareness Training provides every staff member with an awareness of fraud and corruption and how to respond if this type of activity is detected or suspected
- Ongoing fraud and corruption awareness activities and training are conducted for all staff and contractors
- Specialist training is provided for key positions performing identified higher-risk functions
- Employees know and understand the need to declare and manage conflicts of interest

Employment Screening

- A National Police Clearance is conducted for all advertised positions, as part of the recruitment process

Management Commitment to Controlling the Risks of Fraud

- Executive, managers and supervisors are responsible for ensuring that the Department's Fraud and Corruption Control Plan is effectively implemented within their business units

Ethical Framework

- The DMP Code of Conduct and Section 9 of the *Public Sector Management Act 1994 (WA)* states the standards employees are expected to uphold

Line Management Accountability

- People in high-risk positions, such as procurement, revenue receipt, providing exemptions or who have discretionary decision-making roles are appropriately trained, supervised and supported

Internal Control Systems

- DMP uses internal audit to actively review its risk management systems and controls, and aligns these with its own risk profile
- A clearly articulated stance on the acceptance of gifts or benefits is known and understood by all employees

Supplier and Customer Screening

- The credentials of new suppliers and customers are checked and periodically confirmed
- Contracts entered into by the Department for goods or services that are of relatively low risk and value, are awarded either through a Department of Finance Whole of Government Common Use Arrangement (CUA) or, if outside a CUA, are facilitated by Government Procurement agency based staff
- All preferred providers under the CUA are subject to a stringent assessment process undertaken by the Department of Finance
- Contracts are subject to a rigorous assessment process which requires submission of a written offer; evaluation by a panel, including review of disclosures

Mechanisms for Reporting

- A range of internal and external reporting mechanisms is in place to report suspected unethical behaviour, including fraud and corruption

Protections for Disclosers

- The Department will provide support and protection to any staff member who reports incidences of fraud, corruption or misconduct
- Strict confidentiality is maintained from the outset in the receipt and processing of reports of fraud and corruption