UH Fraud and Institutional Compliance
Frequently Asked Questions (FAQs)

The purpose of this document is to provide guidance for identifying and reporting fraudulent acts, as well as institutional compliance violations, at the University of Houston.

Q: What is fraud?
A: The use of one’s occupation for personal enrichment through the deliberate misuse or misapplication of the employing organization’s resources or assets. Fraud is normally considered to be a criminal act, and employees who commit fraud may be terminated, fined, and/or imprisoned depending on the severity of the fraudulent act. For additional information, see System Administrative Memorandum 01.C.04, Reporting/Investigating Fraudulent Acts, at http://www.uh.edu/sam/.

Examples of fraud include:
- Stealing cash or checks
- Falsifying timesheets or workers comp claims
- Falsifying expense reimbursements
- Personal use of university credit cards or long distance codes
- Stealing property or supplies
- Personal use of university assets (occasional local phone calls are okay)
- Outside employment that conflicts with university employment
- Awarding contracts to friends or relatives
- Scholarships/grants awarded based on relationships (personal/financial) vs. merit
- Seeking or accepting gifts or favors from vendors or contractors in exchange for placing orders or awarding contracts
- Purposefully falsifying financial statements

Q: How can I report suspected fraud?
A: Report suspected fraud in one of the following ways:
1. Notify your supervisor, who will notify one of the three below
2. Notify the Director of Internal Audit (Don Guyton)
   • 713-743-8000
3. Notify the State Auditor’s Office
   • https://sao.fraud.texas.gov/ or 1-800-TX-AUDIT (892-8348)
   • Reporters can remain anonymous
4. Use the Fraud and Non-Compliance Hotline
   • Linked from all UH web-site page footers: Fraud & Non-Compliance Hotline
   • Use the Fraud and Non-Compliance hotline web interface or call 1-800-461-9330
   • Reporters can remain anonymous
Q: What is the institutional compliance program?
A: Board of Regents Policy 42.01, located at http://www.uhsa.uh.edu/regents/policy/audit.html, establishes an Institutional Compliance Program for UH. This program was established to develop standards and procedures to help ensure UH’s compliance with state laws and regulations. Non-compliance with external rules and regulations may result in fines and penalties for the university, and the responsible employee(s) may be terminated, fined and/or imprisoned depending on the severity of non-compliance.

Examples of external rules and regulations:

- Federal information security laws (FERPA, GLB, HIPAA, etc.)
- NCAA requirements for athletic programs
- IRS rules for filing tax returns
- State purchase and payment regulations
- Sponsor requirements on research grants

Q: How can I report suspected non-compliance with external rules and regulations?
A: Report suspected non-compliance in one of the following ways:

- Notify the UH Institutional Compliance Officer (Karin Livingston)
  - 713-743-4415
- Use the Fraud & Non-Compliance hotline
  - Linked from all UH web-site page footers: Fraud & Non-Compliance Hotline
  - Use the Fraud and Non-Compliance hotline web interface or call 1-800-461-9330
  - Reporters can remain anonymous

Q: Am I protected against retaliation if I report suspected fraud or compliance violations?
A: Yes. The Texas Whistleblower Act (Texas Govt Code, Chapter 554) protects employees from retaliation who report unlawful activity in good faith.

Q: What types of issues should NOT be reported through MySafeCampus or the other avenues for reporting fraud or compliance violations?
A: Examples include:

- Employee/supervisor disputes (call UH Human Resources at x33988)
- Affirmative Action/EEOC issues (call UH Equal Opportunity Services at x38835)
- Violent crimes, breaking and entering, or burglary (call UH Police at x33333 or call 911)
- Medical emergencies (call UH Police at x33333 or call 911)
- Hazardous waste spills (call UH Environmental Health at x35858)
- Fire (call UH Police at x33333 or call 911)
Using the Fraud & Non-Compliance Web Site to Report Suspected Fraud or Compliance Violations

1. Go to the Fraud & Non-Compliance landing page: https://app.convercent.com/en-us/LandingPage/b3d1c670-e0c-e711-80cf-000d3ab0d899

2. Click “Get Started” to make a report:

![Get Started Button]

3. Select a Category: Compliance/Regulation Violations, Fraud, NCAA Rules Violations, Other, Sexual Harassment, Sexual Misconduct/Inappropriate Behavior
   a. You will be asked a series of questions pertinent to the type of incident

4. Select “tell us what happened”

![Tell us what happened button]

5. You will then be taken to a page to provide more details, provide files or photos, and provide information about yourself. You can choose to be completely anonymous or just anonymous towards the institution.