

Audit Reporting Program

There may be times when individuals suspect or become aware of questionable acts concerning the use of public funds. Reportable activities include, but are not limited to: theft, embezzlement, improper reporting of time (e.g., timecard, exception leave reporting), payments, misuse or questionable use of cash, diversion of or lack of timely deposit of University revenues, credit card fraud, inappropriate communication of confidential information (e.g., pay, social security number, other protected personal or financial information), and any other illegal or questionable acts.

Best business practices would suggest that a fraud/audit issue reporting program is an integral part of a good business environment. The University has financial and operating controls in place to provide reasonable assurance that fraudulent, illegal, or dishonest activity by employees, officers, business contacts or others is prevented or detected. However, management recognizes the potential for inappropriate activities and behavior still exists within the University, as it does in any organization. To ensure our controls are effective, Internal Audit has established a simple mechanism to report improper or inappropriate activities not identified by existing controls.

Due to the nature of certain claims, the University may be limited with respect to the action(s) it may be able to take in response to a report if the individual submitting the report does not wish to make his or her identity known. University policy prohibits the taking of any retaliatory action against individuals who make a good faith disclosure of suspected financial or other misconduct, or violations of policy, etc.

To report a questionable act concerning the use of public funds, send an email to kuservicesurvey@ku.edu with the following information:

1. Timeframe of activity
2. Location where activity occurred
3. Provide names of any individuals who are involved in the questionable activity and how
4. Describe the activity (please provide as much information as possible)
5. Describe any physical evidence or documentation you have or are aware of
6. Describe how you became aware of the activity
7. Are there other witnesses to the activity or have you reported the activity to others (please explain)

Optional: Would you like for someone from the Internal Audit Office to contact you so that you can clarify or provide additional information? If yes, please provide your contact information.

At March 1, 2009, to preserve confidentiality, Internal Audit can only accept emailed issues. We hope to have other reporting options available in the near future.

This process does not protect an employee who files a report or provides information that he or she knows to be false or who files a report or provides information with reckless disregard for its truth or falsity. An employee who is determined to knowingly have made false accusations or given false information during an investigation may be subject to disciplinary action.

The Internal Audit process is designed to monitor misuse of funds or accounting irregularities. Other questionable acts should be reported thru other established University mechanisms as follows:

To Report:	Contact	Phone #	Email
Research Misconduct	Research Compliance HelpLine	(785) 864-7444	wsharp@ku.edu
NCAA Violations	Associate Athletic Director for Compliance	(785) 864-4200	tbecker1@ku.edu
Sexual Harassment	Human Resources and Equal Opportunity	(785) 864-3686	hrdept@ku.edu
Breach of data privacy or security	Information Services Customer Service Center	(785) 864-8080	itcsc@ku.edu