

Appendix A  
HOP 3-1021  
Notification Responsibilities  
for  
Suspected Dishonest or Fraudulent Activity

Who	When	Notifies Whom
University Employees	<ul style="list-style-type: none"> <li>• Immediately upon observation of suspected dishonest or fraudulent activity</li> </ul>	Notification may be made through any of these options: <ul style="list-style-type: none"> <li>• UT Police Department</li> <li>• Director of Internal Audits</li> <li>• Director of University Compliance Services</li> <li>• Associate Vice President of Human Resource Services</li> <li>• UT – Austin Management</li> </ul>
Director of University Compliance Services, or designee	<ul style="list-style-type: none"> <li>• Immediately upon notice of possible dishonest or fraudulent activity</li> </ul>	Director of Internal Audits
Vice President & Chief Financial Officer, or designee	<ul style="list-style-type: none"> <li>• Immediately when known significant loss has occurred (for insurance/fidelity bond claim notification)</li> </ul>	UT System Executive Vice Chancellor for Business Affairs
Director of Internal Audits	<ul style="list-style-type: none"> <li>• As deemed appropriate when an internal audit investigation reveals suspected criminal activity which may constitute a felony offense; also when an investigation is initiated due to an allegation of criminal activity.</li> </ul>	The President Police Chief – UTPD Vice President for Legal Affairs UT System – Chief Audit Executive
	<ul style="list-style-type: none"> <li>• As delegated by the president, Internal Audit</li> </ul>	State Auditor’s Office
Chief – UTPD	<ul style="list-style-type: none"> <li>• Immediately when UTPD is involved in fraud investigation, and for periodic updates on progress of investigation</li> </ul>	UT System – Director of Police
Vice President for Legal Affairs	<ul style="list-style-type: none"> <li>• Periodically update on progress of Internal Audits’ investigations</li> </ul>	UT System – Office of General Counsel
President, or his or her designee	<ul style="list-style-type: none"> <li>• As deemed appropriate when an internal audit investigation reveals suspected criminal activity which may constitute a felony offense; also when an investigation is initiated due to an allegation of criminal activity.</li> </ul>	UT System - Executive Vice Chancellor for Academic Affairs