

INTERNAL AUDIT UPDATE



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Interim Director of Internal Auditing
BOT RMAC Committee Meeting
February 17, 2023

INTERNAL AUDIT ACTIVITY: NOVEMBER 1, 2022 - JANUARY 31, 2023



Summary of Internal Audit Activity November 1, 2022 to January 31, 2023		
	Completed	In Progress
Audits	2	3
Advisory	0	5
Investigations	1	3
Other	0	3
Total	3	15

Summary of Completed Audits & Investigations			
Audit Title		Issue Date	Findings
Follow-Up Audit: Abuse of Time in a University Department		12/12/2022	N/A
Allegations of Time Abuse, Excessive Vacation & Inappropriate Behavior		12/12/2022	N/A
Resolution of the State Auditor Investigative Audit Finding (90-Day Follow-Up)		1/03/2023	N/A

QUESTIONS?

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UNIVERSITY HOTLINE



ETHICSPPOINT[®]
Incident Management

About the University Hotline

- In May 2020, the University upgraded its existing hotline product, EthicsLine, to EthicsPoint, a confidential reporting tool created by NAVEX Global, Inc.
- EthicsPoint provides a confidential and anonymous method for employees to report instances of fraud, waste, abuse, improper conduct, potential noncompliance with laws, regulations, university policies, standards, and other concerns.
- EthicsPoint allows anonymous two-way communication between the university and the employee.
- Allows for better tracking of hotline complaints.
- Has great data analytics capability.

Contacting the University Hotline

Two methods for reporting concerns or violations anonymously, 24 hours a day, 365 days per year:

❖ Telephone

- Toll free at 877-507-7313

❖ Website

- <https://secure.ethicspoint.com/domain/media/en/gui/72105/index.html>

What Happens After a Report is Filed

- Reports may be submitted through the secure webpage or toll-free telephone number. It generally takes about 15 minutes to file a report.
- If you choose to file a report using a toll-free number, a NAVEX Global intake specialist will enter the report information into the EthicsPoint system.
- If you choose to file a report through the secure webpage, reports are entered directly on the EthicsPoint secure server.
- Reporter is given a unique username (report key) and is asked to choose a password. Report key and password allows the reporter to return to the complaint to check for comments and follow-up questions.

What Happens After a Report is Filed (Cont'd)

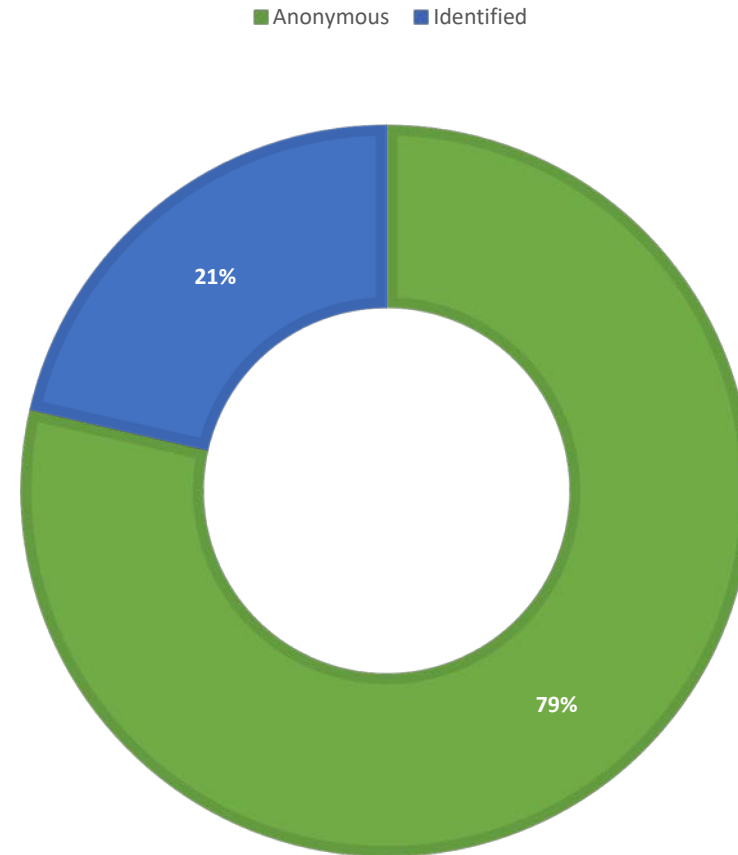
- EthicsPoint notifies the appropriate designated university hotline administrators that there is a report posted to the EthicsPoint system.
- University hotline administrators will review the allegations and based on the nature of the allegations, the report is assigned for review and resolution.
- Reporter should return to the university hotline after 5-6 business days to check for a university response and answer any questions that have been posed.

Hotline Complaints Received by Calendar Year

ISSUE	2020	2021	2022	Total
Discrimination	1	3	3	7
Other	1	4	3	8
Safety Issues and Sanitation	0	1	3	4
Employee Relations	5	5	2	12
Conflicts of Interest	0	0	1	1
Product or Service Quality Concern	1	0	1	2
Theft of Time	0	0	1	1
Wage/Hour Issues	0	1	1	2
Workplace Violence/Threats	0	0	1	1
Policy Issues	1	3	0	4
Total	9 *	17	16	42

* Includes complaints received by both EthicsLine (4) and EthicsPoint (5).

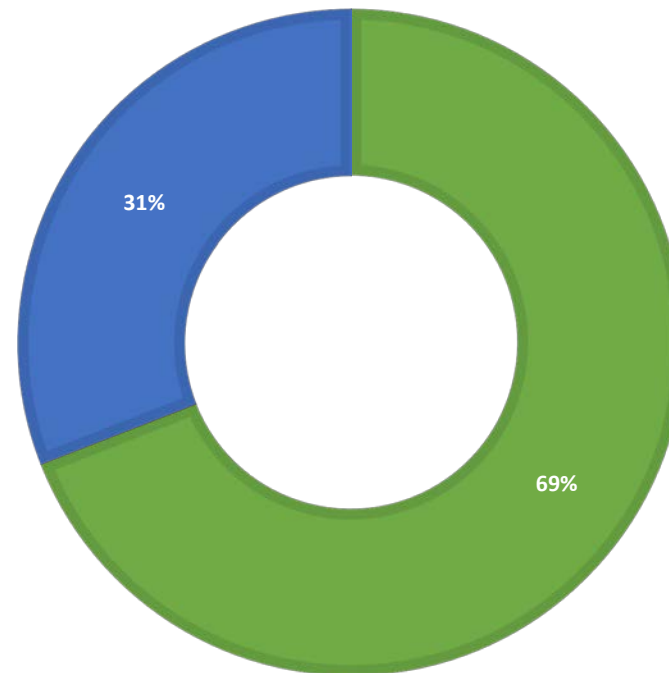
Anonymous vs. Identified



Hotline Intake Method

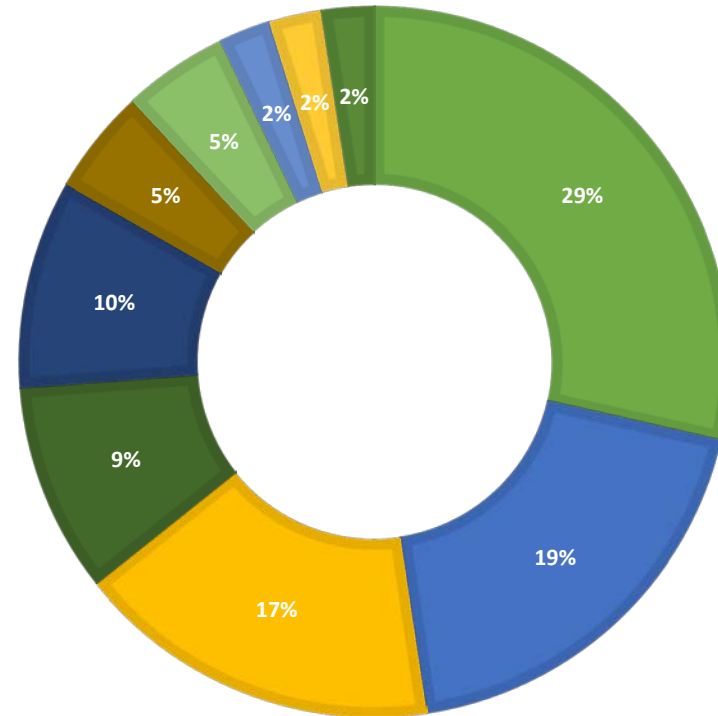
SUMMARY - INTAKE METHOD

■ Hotline Web ■ Hotline Phone



Hotline Issue Type

- Employee Relations
- Other
- Discrimination
- Safety Issues & Sanitation
- Policy Issues
- Product or Service Quality Concerns
- Wage/Hour Issues
- Conflicts of Interest
- Theft of Time
- Workplace Violence/Threats



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