



**Consolidation Committee
Final Report**



Committee Details

Date:	April 21, 2017
Committee Name:	OWG 66 – Risk Management and Audits
Committee Co-Chairs:	Katherine Kikivarakis
Functional Area:	Risk Audits, Safety and Security
Functional Area Coordinator: Katherine Kikivarakis	

Major Tasks for Committee Tracker from Final Planning Document and Recommendations

Task: Ensure Adequate Internal Audit Coverage
Recommendation and/or Action Taken:
Adequate Internal Audit coverage was provided to all audit issues by the Regional Internal Audit Office at ASU. (Prior to Consolidation, ASU Internal Audit Office serviced DSC audit needs as DSC Did not have an internal auditor)
Task: Evaluate Open Audit Issues for completion
Recommendation and/or Action Taken:
All open audit issues were addressed by the Regional Internal Audit Office at ASU. (Prior to Consolidation, ASU Internal Audit Office serviced DSC audit needs as DSC did not have an internal Auditor)
Task: Consolidate Risk Management Operations
Recommendation and/or Action Taken:
All Risk Management Operations and annual assessments were addressed by the Regional Internal Audit Office at ASU. (Prior to Consolidation, ASU Internal Audit Office serviced DSC audit and Risk Management Operations needs as DSC did not have an internal auditor)
Task: Notify Institutions about Consolidated Ethics Hotline
Recommendation and/or Action Taken:
Brochures were given out during the annual International Fraud Awareness week activities which Both Campuses participated in and an email blast was sent to all faculty, staff and students on both campuses in April 2017
Task: Determine a new Hotline URL
Recommendation and/or Action Taken:
The new hotline URL for the consolidated university will be https://asurams.alertline.com, which is the current URL for Albany State University.
Task: Determine costs of consolidating hotline and how to budget it
Recommendation and/or Action Taken:
The cost of consolidating the hotline was \$550, a one-time charge to ASU.



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Task: Determine Conversion Process for Existing Hotline Complaints, Triage, etc.
Recommendation and/or Action Taken:
All DSC hotline cases were resolved and closed in the NAVEX Global System prior to consolidating Both systems.
Task: Select which Hotline Telephone Number to use
Recommendation and/or Action Taken:
The new hotline telephone number for the consolidated institution will be 1-877-516-3415, which Is the Current ASU hotline telephone number. The two hotlines were consolidated January 1, 2017.
Task: Identify a hotline administrator
Recommendation and/or Action Taken:
Katherine Kikivarakis, Audit Director is the hotline administrator for the consolidated institution.
Task: Select individuals to make up triage committee and who received case reports
Recommendation and/or Action Taken:
The individuals recommended for the Triage Committee are: Senior Vice President of Administration (Shawn McGee); Legal Counsel (Rowena Daniels) Audit Director (Katherine Kikivarakis
Task: Select escalation contacts to be called in case of critical report
Recommendation and/or Action Taken:
The individuals recommend for escalation contact in case of a critical report are: Chief of Police (John Fields); Legal Counsel (Rowena Daniels); Audit Director (Katherine Kikivarakis)
Task: Update user names and contact information on hotline portal
Recommendation and/or Action Taken:
The updated/new names, positions and contact information were forwarded to Wesley Horne, USG Administrator who coordinated with NAVEX Global to update the user names and information.
Task: Create new hotline awareness materials
Recommendation and/or Action Taken:
The Office of Internal Audits created brochures of the new hotline information. Also an email was Created with all the pertinent information and sent to faculty, staff and students.
Task: Develop timeline for distribution of new awareness material
Recommendation and/or Action Taken:
It was recommended that the new awareness material be distributed to faculty, staff and students During the annual International Fraud Awareness Week activities in November 2016.
Also in April, 2017 an email blast was sent to the entire campus community.



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Task: Convert old hotline cases to new hotline vendor
Recommendation and/or Action Taken:
All hotline cases for DSC were investigated and closed in advance of January 1, 2017. The hotline Vendor did not change.

Other/Final Comments (if any):

Prior to consolidation, the Regional Office at ASU was responsible for the audit work at ASU, GSW, BSC and DSC.
Consolidation provides opportunities for greater operational efficiencies and professional Development of staff and student internships.