



The Audit Connection

Collaborating for Enterprise Excellence



Spring/Summer Issue No. 10

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The Office of Internal Audit's purpose is to support the mission and vision of the Augusta University Enterprise by: providing independent and objective management evaluations; identifying actual and potential problems; providing corrective guidance; developing management recommendations; and providing consultative services in accordance with professional internal auditing standards and compliance review guidelines.

We are here to help you!

706-721-2661

augusta.edu/admin/oia/

MEMO TO MANAGERS

Managers have major impact on preventing workplace harassment and discrimination

Clay Sprouse, Chief Audit Officer

Workplace harassment and discrimination, in any form, can damage company culture, stifle innovation and depress morale. But the harmful effects can go much further, creating “career limiting” outcomes for managers and leaders and resulting in serious financial penalties for companies who allow discrimination issues to fester.

During fiscal 2014, the U.S. Equal Employment Opportunity Commission (EEOC) fielded 88,778 charges of workplace discrimination. The top five discrimination charges were retaliation, race, sex (including pregnancy and sexual harassment), disability and age.

As managers, you are in a unique position to help prevent, identify and address potential issues. To help our organization ensure that we’re fostering a culture of fairness, ethics and respect, while avoiding the risks of legal action, managers need to:

- Spot and address potential issues before they grow: Keep your radar attuned to team dynamics and conversations. If you learn of potential harassment or discrimination, you must address it. Ignoring it is not an option, even if the issue seems small or questionable. It does not matter how you learn of the issue or whether you manage the individuals involved. When in doubt, reach out to compliance, HR or legal teams.
- Take every report seriously: Avoid bias in receiving reports; treat each report with gravity. Know that the organization does not expect you to investigate or handle every report directly, but we do expect you to notify human resources, legal, or the ethics and compliance team who have been trained to appropriately investigate these types of reports.
- Proactively manage controversial workplace conversations and interactions: While it’s hard to avoid talking about controversial issues of the day, create an expectation and understanding that inappropriate comments and conduct will not be tolerated. If conversations become heated, take quick action to shut down the conversation and address the issue.
- Don’t assume that your employees know the rules or know when their conduct crosses the line: Be ready to provide additional coaching or training to employees who may not be aware that their behavior is inappropriate or potentially offensive.
- Lead by example: Your team looks to you to set the tone. Your actions and your words speak loudly: demonstrate that you will have no tolerance for harassing or discriminatory behavior by setting the standard.

Ensuring our workplace is free of all forms of harassment and discrimination can challenge even the best managers and leaders. If you need additional help with addressing potential discrimination issues, please contact HR, the ethics and compliance team, or legal. They can help you get to the root causes of an issue and, if necessary, get your team back on the right track.

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Questions of the Month

Q: One of my team members loves to joke around, but sometimes I worry it may go too far and offend someone. What's the best way to talk to a team member who hasn't "crossed the line," but is in danger of doing so?

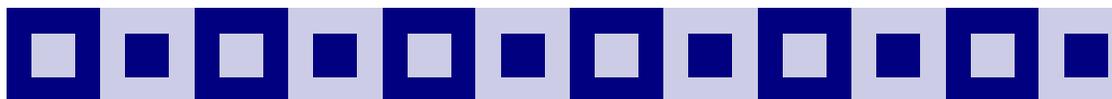
A: Pull the team member aside for a private chat. Explain that you are worried that they may be at risk of being disciplined based on their behavior, then explain why their current behavior is troubling. Show them what our policy says about acting respectfully and avoiding potentially harassing conduct. A best practice would be to send the employee a follow-up email outlining your conversation and thanking them for adjusting their workplace behavior. This allows you to demonstrate that you addressed the issue if the employee or someone else ever suggests that you did not.

Q: What should I do if an employee tells me about potential harassment but then asks me not to do anything and not to tell anybody about it? I feel as though I should comply with their request for confidentiality. (I am located in the U.S.)

A: Do not keep the matter confidential. Instead, ensure that the issue is reported to HR, legal, or ethics and compliance. The reason is that, in the U.S., we must protect all employees, including the employee who has spoken to you, from harassment and discrimination. We have a duty to act, and this begins the moment any manager or supervisor learns of potential harassment or discrimination. So, you cannot keep the matter confidential. Explain to the employee that the matter will be kept as private as possible and shared only with people who have a legitimate need to know. If they do not want to report the issue, then you need to.

Q: I recently addressed an employee's inappropriate behavior ("off-color" remarks that violate our policy against harassment). She said she had a right to free speech and I couldn't restrict what she says. I was caught off-guard. Is she right?

A: No, she is incorrect. Employees often believe that "free speech" means that they can say what they want at work without consequences. But that's not true. In the U.S., "free speech" applies only to efforts by a government to control a person's self-expression — and we are not the government. We are permitted to set the standards of behavior we believe are appropriate for our workplace. Moreover, even a government employer can place reasonable restrictions on speech, for example, to prevent harassment and discrimination at work. At bare minimum, make sure the employee understands that they should avoid comments and behaviors that are sexually explicit or derogatory of characteristics protected under our policies.



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Are you cyber resilient?

Sarah Murray, Auditor

Over the past few years there have been dozens of news-worthy cyber security breaches, many of which you may have been personally affected by (i.e., Target, Anthem, and eBay). These breaches have caused negative impacts for the targeted companies ranging from administrative chaos, significant business loss, reputational damage, and financial burden from penalties and settlements among others. The looming threat of cybersecurity characterizes our times, and to combat this threat we need to change the conversation from cybersecurity to cyber resiliency.

The Institute of Internal Auditors (IIA) defines cyber resilience as the ability to resist, react to, and recover from cyberattacks – and modify an environment to increase security and sustainability. Therefore, an essential component of cyber resiliency is the smooth continuance of operations following a breach, which is where many organizations fall short. Good responsive measures to a cyberattack will limit the impact of an intrusion, communicate the fact of the breach, restore data, and be addressed thoroughly in business continuity and disaster recovery plans (or similar documents).

These all seem like *big* jobs for IT and Senior Management, however there are several *small* measures you and your department can take with the potential to make a *large* impact. Listed below are measures you can take to enhance your department's cyber resiliency.

1. Work collaboratively with IT and other parties to develop a business continuity plan with effective defenses and responses specific to your unit in the event of a cyberattack. For example, does your unit contain protected health information or student records that could lead to a potential HIPAA or FERPA violation upon breach? What would you do – on the individual and departmental level – upon discovery of a breach? Who should be contacted when there is suspicion of a breach? These are the types of scenarios that should be contained in the business continuity plan in regards to cybersecurity.
2. According to a survey conducted by the IIA, prevention and education rank in the top two on the list of effective methods for addressing cyberattacks. Therefore, departments should properly educate employees on cybersecurity and resiliency techniques/strategies and day-to-day best practices for prevention (i.e., importance of complex passwords, knowledge of phishing schemes, spam, etc).
3. Finally, ensure employees are aware of the Enterprise resources available to them. Increased awareness is a key component to any cyber resiliency program. You can learn more on the Augusta University Information Technology website (paws.gru.edu/pub/its/Pages/default.aspx).

Make the transition from cybersecurity to cyber resiliency today!

Enterprise Security Resources

Chief Information Security Officer, Walter Ray

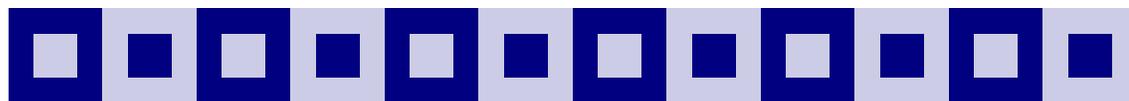
- HIPAA Security and ePHI
- Cyber Security
- Suspicion of breach

Enterprise Privacy Officer, Christine Adams

- HIPAA Privacy

Information Technology Services

- Enterprise Security Questions



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Exemplifying SPIRIT

SPIRIT = Stewardship/Prevention/Integrity/Responsibility/Inspiration/Trust
Crystal Corey, Audit Manager

On April 14, 2016, President Keel awarded the first SPIRIT Award to Farlyn Hudson at the annual employee awards ceremony.

The SPIRIT Award is a new award that recognizes an individual who embodies the values of Augusta University | AU Health. It honors an employee who consistently sets the ethical bar high in managing resources, in their daily decision making and in the delivery of their work. It acknowledges an individual who embraces guiding principles that are for the greater good, and in so doing inspires the trust of others.

Farlyn is a Research Associate and Lab Manager in the Vascular Biology Center and amongst other lab research, she genotypes mice for inheritable genes. I interviewed this special lady to get to know her a little better:

- How does it make you feel to be the first recipient of the SPIRIT Award?** "I am honored that someone sees these qualities in me. I am very appreciative of the award and plan to do my best to continue to live up to those expectations."
- What inspires you to bring your "A" game?** Knowing that my research is important and is contributing to the cause and study for better health.
- What do you like most about your job?** I love working in the lab on my research, in addition, to all the great people I work with!
- What are your interests/hobbies outside of work?** Cooking, reading, spending time with my children and grandchildren, and singing in the church choir
- What many people may not know about you?** I come from a long line of educators including my parents and grandparents and I am an elected School Board Member for Jefferson County.
- Favorite quote:** "Never Compromise your Integrity", "Live above Suspicion", "Give your Employer 100%" – qualities that my parents have engrained in me.



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Driving for dollars

Will Barnes, Senior Auditor

Do you drive a university vehicle? Are you driving it on university business? If you answered “yes” to the first question, hopefully you answered “yes” to the second question. Did you know the university vehicle you are driving is NOT insured? That’s right, the state of Georgia does not insure its vehicles; however, through the Department of Administrative Services (DOAS), the state provides liability coverage and insures the driver **as long as** state rules and regulations are followed.

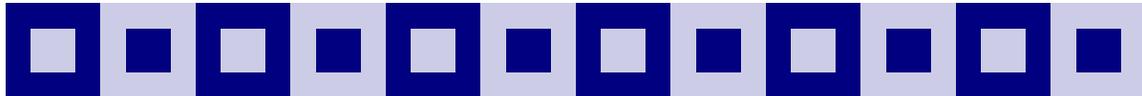
What does that mean to you? Basically two things, in order to be covered for liability purposes, you must: (1) be certified to drive a university vehicle and (2) be driving on authorized university (state) business. The purpose of the trip determines coverage, permission to use the vehicle does NOT provide coverage. If you are driving and have an at-fault accident, and the purpose of the trip (or portion of the trip where the accident occurred) is determined not to be official state business, you could be personally liable.

So what does it mean by portion of the trip where the accident occurred? Say you are driving a state vehicle as a normal part of your job and you stop at the bank, or store, or anywhere that is not directly related to the approved state purpose of the trip, then you are NOT covered. Stopping for lunch is also NOT covered, except in certain circumstances.

Bottom line – protect yourself, protect your assets, and protect your job! If operating a university vehicle is part of your job, then you are Driving for Dollars.

For more information, please visit the Augusta University Facilities Services/Vehicle Services website at augusta.edu/facilities/vehicleservices/index.php.

Safe Travels!



Giving back is where it's at!

Lisa Kedigh, Administrative Assistant

Does it always seem as if someone is constantly asking you for a donation or to volunteer for some cause or charity? If you asked the majority of the population if volunteering and giving back is important, 100% would probably say yes, but how many of them actually practice it? Most often, peoples’ responses are; “I don’t have the time? There are plenty of other people who will do it. My contribution or help won’t make that much of a difference.” According to the Bureau of Labor Statistics 2015 report, 24.9% of the U.S. population over the age of 16 volunteered at least once in the past year. In 2011, this percentage was 26.8% and in 2005 it was 28.8%. Why is it decreasing? Most people believe that they are overworked or just plain lazy.

Augusta University provides many opportunities for employees and students to participate in giving back to the community. The Day of Service, the Heart Walk and the Healthy Grandparenting Program are just to name a few. AU is dedicated to serving the community through volunteering and serving those in need as well of fundraising.

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There are many advantages to giving back and volunteering:

- Provides physical and mental rewards. It reduces stress and makes your life healthier.
- Builds team comradery and brings people together.
- Personal growth, reveals interests and skills that you never knew you had!
- Strengthens communities.
- Builds new friendships and networking.
- It makes you happy! In a poll by the National Volunteering Network, 98% of respondents said volunteering has made them happier people.

Whether it is contributing \$20 to the American Heart Association, cleaning baseboards at the Ronald McDonald house, or running a 5k to support the fight to end breast cancer, every little bit counts and makes a difference.

For volunteering opportunities, please contact AU Volunteer Services at 706-721-3596.

Hospital opportunities below:

- Adult Emergency Department
- Adult Inpatient Units
- Behavioral Health
- Concierge Services
- Intensive Care Unit
- Medical Records
- Neonatal Intensive Care Unit
- Pediatric Emergency Department
- Pediatric Inpatient Units
- Pediatric Intensive Care Unit
- Same Day Surgery
- Shock Trauma
- Terrace Dining

Jagwire also has a new module on the University page that provides a list of noncampus volunteer opportunities to help AU faculty, staff and students identify community service opportunities.

jagwire.augusta.edu/archives/31391



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To keep or not to keep.....That is the records retention question

Rufus Copeland, Senior Auditor

As Augusta University employees, we know that we're all responsible for securing and protecting the privacy of student, patient institutional and electronic data. But have you ever asked yourself during the work day, what should I do with this record or how long should I hold onto this document? Did you know the answer or where to retrieve the information? We have found that there appears to be somewhat of a mystery surrounding which documents are required to be retained and the corresponding retention period.

The Board of Regents and Augusta University have adopted records retention guidelines that should be referred and adhered to when determining the minimum retention period for a particular record. The retention periods range from 1 year to permanently, depending on the type of record. Guidelines contain a list of more than 400 types of records that are organized into twelve (12) general categories for easy referencing. Below are a few best business practices to keep in mind the next time you question the proper handling of a record.

Best Business Practices:

- *Secure all records by limiting access to those who have a job-related need-to-know*
- *When in doubt about retention practices, navigate to the PolicyTech and/or BOR website to review retention policies & procedures*
- *Develop and implement departmental storing and discarding procedures, utilizing Augusta Data Storage as necessary*
- *Maintain documentation to support what and when records are destroyed*
- *Avoid keeping records or documentation beyond its retention period as this puts the University at risk of unauthorized access and decreases the availability of storage space*

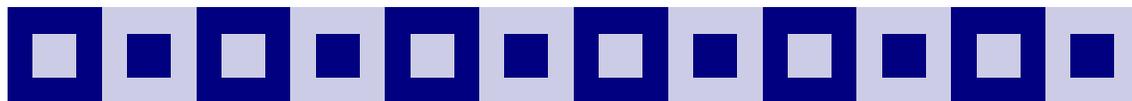
There is a real cost to indefinitely storing records that we often fail to consider. Therefore, it is very important that departments always use sound judgement and perform due diligence in maintaining their records. Another practical tip that may be helpful would be to organize and group records into the general categories found within the guidelines, and when necessary, contact the responsible department(s) that could be considered the data owner to prevent duplicate record keeping. For example, it would be a good idea to contact the Human Resources Office before retaining or getting rid of any HR records.

Useful Resources:

- gru.policytech.com
- usg.edu/records_management/schedules
- augusta.edu/registrar/privacy.php
- augusta.edu/compliance/hipainformation.php

You can also visit the Office of Internal Audit webpage at augusta.edu/oia and utilize the Departmental Self-Assessment tool to measure record retention practices within your department.

For department-specific questions or concerns pertaining to sensitive records, you may contact the Offices of Legal Affairs at 706/721.4018, Compliance and Enterprise Risk Management at 706/721.0900 or Internal Audit at 706/721.2661.



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Lucas and Powell Win \$1,000 in First Annual Careers Connections Case Competition!

Kathleen Boyd, Associate Director

On March 18, 2016 Knox School of Accountancy students Remy Lucas and Alexandria Powell, took first place in the first annual Careers Connections Case Competition. Pitted against ten other teams, “The Controllers,” as they called their team, proved their business acumen and audit instincts were just what employers will be seeking in accounting graduates. After advancing from the first round, three teams presented to a panel of judges comprised of accounting faculty and community and business leaders from a variety of backgrounds.

Congratulations to Remy and Alex, as well as their faculty mentor, Professor Steve Loflin, and their professional mentor, Danny Finn. Loflin is an accounting professor at Augusta University, while Finn is the Director of Human Resources and Employee Relations for Georgia Correctional Health Care.

The competition was co-presented by the CSRA Chapter of the Institute of Internal Auditors and the Knox School of Accountancy.



Clay Sprouse (left), President of CSRA Chapter of the IIA, congratulates the winners



Professor Loflin, Remy Lucas, Alex Powell



Remy Lucas, Alex Powell, Danny Finn

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A huge shout out to one of our own, Rufus Copeland, Senior Auditor with the Office of Internal Audit. Rufus received the Service Excellence Award during the Employee Awards Program on April 14th at the Lee Auditoria. The Service Excellence Award recognizes outstanding and exemplary quality performance towards the overall mission of all academic, administrative and clinical areas.

Congratulations Rufus!



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