Welcome to Focus on Finance & HR!

November 17, 2020

Agenda

- Foundation Fund Management
- Audit Notes
- Policy Corner: Recruitment of Staff Positions
- COVID-19 Updates
- Announcements & Deadlines

FOUNDATION FUND MANAGEMENT

Joanna Curtis
Chief Advancement Officer

How is a foundation fund established?

Recipe: University of Memphis Scholarship Fund

1. Development Officer works with donor to establish the amount and criteria
2. DO creates Scholarship Gift Agreement
3. UM Foundation reviews agreement
4. Advancement Support staff routes via DocuSign for signatures
5. All signatories receive executed document
6. Fund is established and fund numbers assigned
7. Designees receive fund information + executed agreement
8. Scholarship Office creates new scholarship in TSM
9. Once fully funded, budget is established and available for award
10. Advancement provides donor with annual update on fund and recipient

Ingredients:

*Donor
*Development Officer
*Academic Leader
*UofM Foundation
*Advancement Support
*Grants Accounting
*Scholarship Office

University Expenses Paid With Foundation Funds

1. Who has responsibility for determining that expenses submitted to the Foundation are appropriate?

Deans, Department Heads (and designees) have this responsibility. All expenses submitted to the Foundation are paid on behalf of the University.
IMPORTANT

- Approval clearly indicated
- Supporting documentation
- Business purpose in support of the University's mission and purpose

Details for how to submit and details for what is required can be found on the Foundation website. https://www.uofmfoundation.org

Budget – Endowment Funds

2. How does the Foundation budget process work for endowment funds?

a. Determined on annual basis in compliance with the state law governing management of endowment funds. (aka known as the "spend rate").

b. Reports go to all areas with endowment funds in November/December each year listing the endowment budget for the following fiscal year.

c. The endowment budget for individual endowment funds can be increased by submitting an email to the Foundation (foundation@memphis.edu) requesting an increase. Requests are evaluated on a case by case basis depending what additional funds are available in a specific fund.

d. Fund balances for all non-endowment funds (current expendable funds) also are provided each year with the November/December reports. There is not a budget for these funds, The balance in the fund is available.

e. Balances in any Foundation fund can be viewed in Banner at any time. Access to view Foundation funds in Banner is granted by submitting the "Access Request Form" on the Foundation website (click on "Forms" tab). https://www.uofmfoundation.org

Matrix Documents & Expenditure Requests

3. How do I view Foundation fund (gift) agreements in Matrix (OnBase)?

Email the request to the Foundation at foundation@memphis.edu. Supervisor approval is required.

4. How do I submit expenditure requests for Foundation funds?

Submit using the "Expenditure Request Form" on the Foundation website. (Forms tab) https://www.uofmfoundation.org and email to foundation@memphis.edu. Additional details and instructions are also listed on the website. Transfer requests can be submitted by email to foundation@memphis.edu. The approval associated with the fund is required (Dean, Department Head or Designee).

Questions can be submitted to the Foundation at any time to foundation@memphis.edu or by contacting Foundation staff listed on the website https://www.uofmfoundation.org.

Scholarship Office – Donor-Funded Scholarships

Next Steps:

1. What happens once the Donor Agreements are completed?

- We are the bridge to connect students to the resources.
- Scholarships are created in Tiger Scholarship Manager and Banner.

2. Are the Colleges/Departments involved in the process?

- We meet and engage the Colleges/Departments prior to the awarding cycle.
- Goals:
  - Address issues or concerns from prior awarding cycle
  - Establish timeframe for next awarding cycle
  - Assign action items if necessary

3. What is the timeframe for the process?

- College/Department meetings start late September or early October
- Application cycle launch Mid-November
- Application deadline February 1st
- Adjustment are made as necessary
- Notifications begin April 1st
- Goal to have award on account June 30th prior to eBills

Scholarship Office – Donor-Funded Scholarships

Next Steps:

4. What happens to scholarship if the student does not enroll?

- Our contacts have access to an Argos Scholarship Dashboard
- Goal:
  - Provide disbursement and enrollment information for the scholarship and respective students
  - Contacts are encouraged to use this tool after census

AUDIT NOTES

Vicki Deaton
Chief Audit Executive

Conflict of Interest - Nepotism

- In our audits and investigations, we look for situations where an employee may appear to or actually allow their personal interests, rather than the best interests of the UofM, to affect their judgment.

- One type of conflict of interest is nepotism.

- Potential Conflicts Seen by Internal Audit: Related employees – supervision by a relative or approval of transactions involving self or family members.

Tennessee Code Annotated 8-31

Tennessee State Employees Uniform Nepotism Policy Act of 1980:

Within each governmental entity, no state employees who are relatives shall be placed within the same direct line of supervision whereby one relative is responsible for supervising the job performance or work activities of another relative; provided, that to the extent possible, this chapter shall not be construed to prohibit two or more such relatives from working within the same state governmental entity.

HR5055 Nepotism and Personal Relationships Policy

A University employee may not directly influence decisions related to the recruitment or hiring of a person who is a relative.

No employees of the University who are relatives shall be placed within the same direct line of supervision whereby one relative is responsible for supervising the job performance or work activities of another relative; provided, however, that to the extent possible, this policy shall not be construed to prohibit two or more such relatives from working for the University.

Definitions

The state's policy defines Relative as a parent, foster parent, parent-in-law, child, spouse, brother, foster brother, sister, foster sister, grandparent, grandchild, son-in-law, brother-in-law, daughter-in-law, sister-in-law, or other family member who resides in the same household.

University policy defines Relative as an individual related to an employee by blood, marriage or law including, but not limited to, a spouse, child (foster and step), parent, parent-in-law, sibling (foster or step), grandparent, grandchild, son-in-law, brother-in-law, daughter-in-law, sister-in-law, or other family member.

What Does Internal Audit Do?

If nepotism is identified during an audit or investigation, Internal Audit recommends following policy procedures:

To Avoid a Conflict of Interest or an Appearance of a Conflict of Interest

Self Reporting

A University employee shall notify his or her supervisor immediately in writing of a situation in which the employee is in a position to exercise authority, either direct or indirect, over a relative. If during the course of employment a familial or personal relationship develops or occurs that was not present at the time of hire, the person in the supervisory position must notify their direct supervisor immediately so that steps can be taken to mitigate the conflict.

Any employee finding themselves in violation of this policy, shall immediately report the issue to Human Resources.

What Does Internal Audit Do?

If nepotism is identified during an audit or investigation, Internal Audit recommends following policy procedures:

To Avoid a Conflict of Interest or an Appearance of a Conflict of Interest

Complaints

Any employee or student who becomes aware of a situation which they, in good faith, believe is a violation of this policy may report the relevant relationship to Human Resources for investigation and resolution. Further, those with management or supervisory responsibilities bear an affirmative responsibility for sustaining a positive workplace and should take immediate steps to report any relationship that he or she believes may violate policy.

Contact Information

Office of Internal Audit & Consulting – 271 Administration Building
www.memphis.edu/audit

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ebridges@memphis.edu

Questions

POLICY CORNER:
HR5000 – RECRUITMENT OF STAFF POSITIONS

Danny Linton
Associate Director, Human Resources

HR5000: Recruitment of Staff Positions

- Policy Link

HR5000: Recruitment of Staff Positions

Minimum Qualifications

- There are two separate components: Classification vs Position.
- For staff positions, HR will screen your initial pool and remove any applicants who do not meet the minimum requirements for your position.
- When dispensing applicants, do not select “Did not meet minimum qualifications” since applicants would not have been sent to you if they did not meet the minimum qualifications.

HR5000: Recruitment of Staff Positions

OIE Reviews

- OIE’s role is to ensure equity and diversity in all stages of the hiring process.
- When you mark candidates as Recommend for Interview, OIE is automatically notified.
- Do not interview any applicants until OIE marks your candidates as Approved for Interview.
- OIE may require you to add/subtract from your interview pool as appropriate.
- Interview formats should be “equal” for all candidates. For example, if a Round 1 candidate is interviewed via Zoom, all Round 1 candidates should be interviewed that way.

HR5000: Recruitment of Staff Positions

Applicant Documents

- When requesting documents to be uploaded by applicants, remember required means REQUIRED.
- Applicants must have your document in soft copy format in order to proceed with applying.
- Consider making documents optional if they can be provided later.
- If requesting “Other Document,” be sure to identify what that document is somewhere in the posting.

HR5000: Recruitment of Staff Positions

Posting Period Minimums

- All staff positions must be posted for at least one full week (5 business days). This is for both non-exempt and exempt positions.

- Postings dates can be extended if needed.

HR5000: Recruitment of Staff Positions

External Ads

- There are certain situations in which external ads may need to be utilized for purposes of diversifying your pool.
- External ads must be funded by your department.
- The verbiage on the ads must match the verbiage in the WorkforUM posting (closing dates, etc).

HR5000: Recruitment of Staff Positions

Salary & Posted Hiring Ranges

- The Salary field is internal to users with access only.
- The Hiring Range field is viewable to the public.
- You cannot hire at a salary higher than your posted range.
- When posting salary ranges, be sure your budget can accommodate the range you are posting.

HR5000: Recruitment of Staff Positions

Background Checks

- The step in the hiring proposal that may take the longest is when HR is awaiting a background check to clear. Offers of employment cannot be finalized until a background check has successfully cleared.

- Candidates with histories in multiple states/countries tend to take longer to clear than those with just one.

HR5000: Recruitment of Staff Positions

Verifications of Employment vs. Reference Checks

- Verifications of Employment: Human Resources verifies that a candidate’s employment history listed on his/her application/resume is correct.

- Reference Checks: If a reference list was requested as part of the posting, departments should contact those references about their top/final candidates. Ask questions about the employee’s work ethic, quality of work, job performance, etc.

HR5000: Recruitment of Staff Positions

Onboarding

- As your department is finalizing the hiring proposal, remember that the onboarding process for your new hire should begin at this point (e.g. getting offices & phones ready, computers set up, access forms started, etc.).
- New employees generally should be started in accordance with the HR New Employee Orientation schedule, which is available by contacting Human Resources.
- Further training about interviewing is available in Learning Curve.

HR5000: Recruitment of Staff Positions

Resources

- Recruitment Basics
  https://www.memphis.edu/hr/recruitment.php
- Compensation Basics
  https://www.memphis.edu/hr/compensation.php
- FAQs
  https://www.memphis.edu/hr/faq.php

HR5000: Recruitment of Staff Positions

If your department has specific questions related to the hiring workflow, please contact your HR Business Partner.

COVID-19 UPDATES

Kristil Davis
Director, Strategic HR Initiatives & Talent Management

Plans for Spring 2021

- You can visit the UofM's [COVID-19 pages] to review the most recent statistics.

COVID-19 Reporting

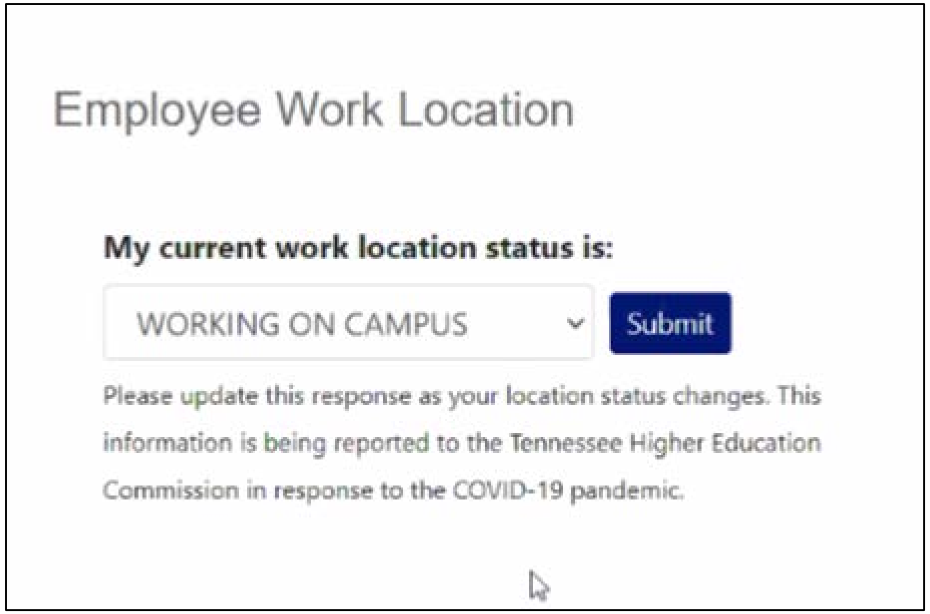
-Updated November 11-

Faculty & Staff	
Number of cumulative exposures reported since March	186
Number of Confirmed COVID-19 Cases since March	56
Number of Active COVID-19 Exposures being monitored	37
Number of cases on campus	0
Cases contracted on campus	0

Students	
Number of cumulative exposures reported since March	359
Number of Confirmed COVID-19 Cases since March	325
Number of Active COVID-19 Exposures being monitored	14
Number of cases on campus	1
Cases contracted on campus	60

Employee Work Location Update

- Location updates should occur only when there is a change in your normal work pattern (onsite, remote and/or hybrid).
- Employees who will remain remote or in a hybrid status should be sure to complete an AWA.
- Please get your area's employees to submit this information!



Plans for Spring 2021

- At this point, no official decisions have been made regarding the Spring 2021 semester and any changes that might result from the pandemic.

- ADA and Alternative Work Requests should continue to be submitted to Human Resources as needed.

ANNOUNCEMENTS & DEADLINES

Announcements & Deadlines

- Welcome to all first-time attendees at Focus on Finance & HR!

Announcements & Deadlines

- Don’t forget to review the University’s current job openings at workforum.memphis.edu.
- Follow the Division of Business & Finance on Twitter at @uofmemphisbf!
- Subscribe to our WorkforUM Twitter feed at @umemphisjobs!
- Follow us on Instagram! @uofmhr

Announcements & Deadlines

- Unfortunately, because of health department guidelines, there will not be a President’s party or an HR Open House this holiday season.

Announcements & Deadlines

- Part-time faculty assignments for Fall 2020 will have their Banner access extended by 120 days in order to avoid issues with the altered academic calendar's effects on their ability to enter grades, etc.

- This process will happen automatically; no changes to e-contracts are required.

Announcements & Deadlines

- Under no circumstances should any employee be approving his/her own time sheet or leave report.
- Even if you have the ability to do this systematically, doing so can result in an audit finding and disciplinary action.

Announcements & Deadlines

- Please review your area's org chart(s) online.

- If you see inaccuracies, please complete a Request to Change Position Supervisor action in WorkforUM for any errors.

- If you have major errors (such as the entire department being incorrect), please contact Danny Linton in HR.

- Keep an eye out for vacant positions that may need to be inactivated, or grants that may need to be closed.

Announcements & Deadlines

- Faculty performance appraisals for 2020 will be launched in WorkforUM in early January 2021.

- Faculty members will receive the usual e-mail notifications from the system to begin their self-appraisals at that time.

Announcements & Deadlines

- Harriet R. Montgomery Service Excellence Awards Ceremony
- Held virtually this year on Dec 15, 2020 at 10am
- Open to the University
- Join us at this link!

Announcements & Deadlines

- HR is accepting suggestions for future EAP Webinars.
- E-mail any topics you would like to see covered to engagement@memphis.edu.

Announcements & Deadlines

- The University will be closed for Thanksgiving on November 26, 2020 and Friday, November 27, 2020.

- Because of this closure, all invoices will be due in the Accounting Office by 4:30 p.m. on Monday, November 23, 2020. Any invoices received by this deadline will be processed and the check mailed by Wednesday, November 25, 2020. All other invoices will be processed after the holiday.

- If you have any questions or need additional information, contact the Accounting Office at 901.678.2271 or email accountspayable@memphis.edu.

Announcements & Deadlines

- All biweekly time sheets for the period of Nov. 7 through Nov. 20 are due for approval by 4:30 p.m. on Wednesday, Nov. 18. Since time sheets must be turned in early, it will be necessary to estimate the time for work performed on Nov. 19 and Nov. 20.

- Any adjustments or corrections to the time reported should be submitted no later than Dec. 4 for payroll disbursement of Dec. 11.

- If you have any questions or need additional information, contact the Payroll Office at payroll@memphis.edu or 901.678.3841.

Announcements & Deadlines

REMINDER!

- Recruitment Fact Sheets are available for both staff and faculty. These documents can be distributed during applicant interviews.
- Staff: https://www.memphis.edu/workforce/pdf/hiring_highlights_staff.pdf
- Faculty: https://www.memphis.edu/workforce/pdf/hiring_highlights_faculty.pdf

Announcements & Deadlines

- Finance & HR Trainings can be held via Zoom, dependent upon demand.

Announcements & Deadlines

- Need someone added to the Focus on Finance & HR mailing list?
- Don't forward to them—forward to us!
- hr@memphis.edu


NEXT MEETING
Tuesday, December 15, 2020 @ 2:30pm
memphis.edu/focuszoom


THANK YOU FOR ATTENDING!
memphis.edu/focus