



# FOCUS ON FINANCE & HR

JANUARY 18, 2022

# Today's **Agenda**

- Audit Notes
- Physical Plant's WORQ System
- Employee Direct Deposit
- Announcements & Deadlines



# Audit Notes

**VICKI DEATON, CHIEF AUDIT EXECUTIVE**  
**INTERNAL AUDIT**





# Recent Audit Activity

We have completed several financial and compliance audits of University departments, centers, and other organizations. These are comprehensive audits.

## Audit Objectives

- Determine if the organization has adequate controls over finances.
- Determine if the organization is in compliance with University financial, procurement, fixed assets, personnel, conflict of interest, data access, and safety and security policies and procedures.



# Internal Audit Objective

The Tennessee Financial Integrity Act requires that management establish and maintain an adequate internal control system to

- ensure compliance with applicable laws and regulations,
- safeguard funds, property, and assets, and
- ensure the reliability of financial reports.

Internal Audit seeks to determine if controls are in place and working as intended.

# Management Control – Authorized Signatures

According to Policy BF4000 Authorized Signatures,

“The University grants by position title the authority to approve certain financial transactions and employee time and leave reporting. It is the responsibility of each financial manager to control all financial transactions against assigned organizations to ensure that they conform to university policy. The financial managers are responsible for reviewing financial activity and appointing and monitoring designees and approvers to assist with overseeing these activities.”

# **Management Control – Authorized Signatures**

## Policy BF4000 Authorized Signatures

This policy outlines the authority and responsibility attached to signatures, including electronic approvals, on financial documents and employee time and leave documents.

It establishes a procedure for creating and maintaining information on individuals authorized to approve financial transactions and employee time and leave reporting for established areas of responsibility (organizations).



# **Management Control – Authorized Signatures**

Business and Finance management implemented the Annual Financial Responsibility Certifications to strengthen the University's internal controls and help ensure financial integrity. They consider the financial manager, designee, and approver roles vital functions in their internal control framework.

Business and Finance management requires all employees in the roles of financial manager, designee, or approver in the Banner financial system to acknowledge their responsibility and understanding of these roles.

# Financial Manager Certification

As the financial manager, you are responsible for the financial activity, including the safeguarding of physical assets. Authority is granted to create and approve financial transactions in Banner, Tigerbuy, Equipment Workflow, time and leave reporting, and Electronic Personnel Action Forms (EPAFs).

You are expected to give careful consideration to the appointment of designees and approvers, as well as oversee their activities.

It is your responsibility to review and confirm that your designees and approvers require the access level currently granted.

# Financial Manager Certification

“I am responsible for financial oversight and internal controls in my organization and area of responsibility. This includes having a working knowledge of the University of Memphis and Tennessee Higher Education Commission policies and procedures. I understand that it is my responsibility to notify the appropriate finance executive (Chief Business Officer in division, Controller, Executive Director Financial Reporting, and Accounting or Chief Financial Officer) of any violations of University policy or other matters that might warrant additional attention. I acknowledge that I concur with the above-mentioned statements and I understand and accept my role and responsibility as a Financial Manager.”



# **Key Risks of Annual Financial Responsibility Certification Noncompliance**

Lack of an understanding of financial management responsibilities increases the risk that unauthorized transactions and expenses could occur.

Noncompliance with Business and Finance's requirement could cause disruption of the financial manager's access and their designees' and approvers' access to Banner, Tigerbuy, Equipment Workflow, time and leave reporting, and Electronic Personnel Action Forms (EPAFs).

# Internal Audit Objective – Annual Financial Responsibility Certification

When performing a financial and compliance audit, Internal Audit staff reviews documents and processes related to expenses, purchasing card expenditures, procurement practices, personnel records, fixed asset records, conflict of interest, data access, and safety and security.

One of our audit steps is testing completion of the Annual Financial Responsibility Certifications. The certification is usually required annually during the month of March.

- We get a list of all financial managers, designees, and approvers for the organization(s) from the Finance Program Guide.
- Then we verify with a Business and Finance provided report that all the financial managers, designees, and approvers have completed the most recent Annual Financial Responsibility Certification.

# **Audit Issue Identified**

In multiple organizations audited the past few years, we have found financial managers and designees who have not completed the required Annual Financial Responsibility Certification.



# Audit Recommendations

Organizational management should develop a plan for policy review, discussion, and training held as needed for all those with financial management responsibilities.

Organizational management should send Annual Financial Responsibility Certification reminders to all employees with financial management responsibilities.

**The certification is usually required annually during the month of March. Employees required to complete the certification receive an email including a link to their electronic certification form.**

# Contact Information

Office of Internal Audit & Consulting – 271 Administration Building

[www.memphis.edu/audit/](http://www.memphis.edu/audit/)

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Senior Internal Auditor

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**Questions?**



# Physical Plant's WORQ System

**DANNY LINTON**

**ASSOCIATE DIRECTOR, HUMAN RESOURCES**





# WORQ Requests

- [www.memphis.edu/pp](http://www.memphis.edu/pp)
- Click WORQ System
- If you are entering a key request, go back and select ACCESS Control System for building/rm keys, fobs, ID card Access and Door locks New. To request a lock repair without ordering a new key you would use work order request to repair lock.
- Click Enter a new work request
- Fill out requested lines (First Name, Last Name, UOM email, Phone number, Building, Room, Specific location, Category of Work, Description, Hours of Availability, Banner Index number (always include even though work might not be billable), Responsible Official
- Describe what you are needing without using any special characters, such as \*&#\$

# Important Dates

- You will receive a reference number after you submit. Be sure to keep a record of it.
- You can also look up the status of the work order by using your reference number or building, under the WORQ System.
- For any assistance you can reach out to our staff at 678-2699.

**Your Reference number is: 496699**

**Please make a note for your records.  
For security purposes, Lock Shop and Rental Property status  
information is not available on this site. Please call Facilities  
Operations at 2699 for the status of these requests.**



PP  
Website

[REVIEW COVID-19 INFO & CAMPUS UPDATES >](#)



## PHYSICAL PLANT

[Staff Directory](#)

[Units](#)

[Recycling](#)

[Rental Property](#)

[Stormwater](#)



## TAKE ACTION

[WORQ SYSTEM](#)[ACCESS CONTROL SYSTEM](#)[FORMS](#)[CONTACT US](#)

## FOLLOW US ONLINE

[Home](#) > [Physical Plant](#) > [Physical Plant Staff Directory](#)

## Physical Plant Staff Directory

### Physical Plant Leadership

**Ron Brooks**, Vice President for Physical Plant

901.678.2077 | [E-mail](#) | [Bio](#)

**Kathy Johnson**, Senior Director, Business Support Services and Space Utilization

901.678.2796 | [E-mail](#)

**David Medlock**, Senior Director, Physical Maintenance, Energy & Utilities and Sustainability

901.678.2502 | [E-mail](#)

### Business Support Services

**Ryan Seidner**, Assistant Director of Business Operations

901.678.2654 | [E-mail](#)

## TAKE ACTION

[WORQ SYSTEM](#)[ACCESS CONTROL SYSTEM](#)[FORMS](#)[CONTACT US](#)

## FOLLOW US ONLINE

[Home](#) > [Physical Plant](#) > [Physical Plant Systems](#)

## Physical Plant Systems

### Work Order Request Query System (WORQ)

- **Enter a new work request** (Requests only be submitted from the campus network.)
- To request building/room keys, fobs, ID card access, or door locks, please use link for Access Control System below.
- **Search for the status of an existing work request by Reference Number**
- **Search for the status of an existing work request by Building Name**
- **Labor Rates**
- **Online Help**
- **Note:** For security purposes, Lock Shop and Rental Property status information is not available on this site. Please call Facilities Operations at 6

### Access Control System

- **Work Request for Building/Room Keys, Fobs, ID Card Access and Door Locks ONLY**

If you need further assistance, please **e-mail** Physical Plant.

# UOFM WORQ REQUEST

Home - Physical Plant Systems

Help

If you have an emergency, call Facilities Operations at 678-2699 or 678-2075. For emergencies not occurring on University workdays (Monday-Friday) from 7:30 a.m.-4:30 p.m., call Public Safety at 678-4357.

The WORQ System can only be accessed by computers that are within the UofM computer network.

Please use one entry form per request. Multiple requests require multiple entries. Fields marked with \* are required.

* First Name	<input type="text"/>	Maximum 15 characters
* Last Name	<input type="text"/>	Maximum 15 characters
* University E-mail Address	<input type="text"/>	<a href="#">Whitepages Lookup</a> . Maximum 40 characters
* Phone	<input type="text"/>	Maximum 10 numbers. Numbers only.
Fax	<input type="text"/>	Maximum 10 numbers. Numbers only.
*Building/Location	<div>Select a building/location...<div></div></div>	
Room Number	<input type="text"/>	Enter room numbers only. Do not enter building initials or abbreviations. Maximum 6 characters.
*Is space alarmed?	<div><input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Don't know</div>	
Specific Location	<input type="text"/>	Required if location is "Grounds" Area or "Other". Maximum 40 characters.
*Category of Work	<div>General Maintenance<div></div></div>	
* Description of work	<input type="text"/>	Maximum 42 characters.

	<input type="text"/>	Maximum 42 characters.
	<input type="text"/>	Maximum 42 characters.
	<input type="text"/>	Maximum 42 characters.
	<input type="text"/>	Maximum 42 characters.
	<input type="text"/>	Maximum 42 characters.
	<input type="text"/>	Maximum 42 characters.
	<input type="text"/>	Maximum 42 characters.
*Hours of availability for room/space	<input type="text"/>	Maximum 42 characters.
Banner Index Number	<input type="text"/>	6 digits, no hyphen: i.e. 260100

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Responsible Official for Account to Be Charged:

First Name	<input type="text"/>	Maximum 15 characters
Last Name	<input type="text"/>	Maximum 15 characters
Responsible Official's E-Mail Address	<input type="text"/>	<a href="#">Whitepages Lookup</a> . Maximum 40 characters

Submit Work Order

Reset Form

**Questions?**



# Employee Direct Deposit Form

**SHAN ARNOLD**  
**ASSISTANT CONTROLLER**

**SHERMIA CHERRY**  
**BUSINESS SYSTEMS ANALYST**





# Employee Direct Deposit Form

- The Employee Direct Deposit form can be accessed through the portal or with links available on the University's Payroll and Accounting Office websites
- Users are authenticated using their University Single Sign On credentials
- A Primary Deposit Account and an Employee Reimbursement Account are mandatory for all university employees
- Employees can divide their Payroll Deposit between up to three different accounts
  - Deposit accounts can be a checking or savings account
  - Primary Deposit Account is NET Pay
  - Secondary Deposit Account is a FIXED dollar amount
  - Third Deposit Account is a FIXED dollar amount
- Forms will be processed by the Payroll and the Accounts Payable departments

# Employee Direct Deposit Form

The form contains three sections for the employee to complete:

- Section I: Employee Information
  - Autofill based on single sign on credentials and cannot be modified
- Section II: Deposit Account Details

This section is interactive and deposit accounts presented for completion will be based on the accounts selected by the employee

  - Employee Selects the Deposit Account and provides banking information
- Section III: Authorization
  - Employee authorizes the University to process the form

The form will automatically be routed to the appropriate department(s) for processing when the employee submits the form.

**Section I: Employee Information**

UID:

Name:

Email:

Date:

U00006850

Shermia L. Cherry

scherry@memphis.edu

01/06/2022

**Section II: Deposit Account Details**

An employee's payroll deposit can be divided between three different checking or savings bank accounts. An employee's reimbursement can only be deposited into one account.

Are you establishing an initial direct deposit account? 

No

Select the Deposit Account(s):

☒ Primary Payroll☐ Secondary Payroll☐ Third Payroll☐ Employee Reimbursement

**Primary Payroll Deposit Account**

Type of Change:

Please Select an Option: 

Modify Account Information

**\*\*Existing Primary Payroll Deposit information will be replaced with the information below.\*\***

**Deposit Account Information:**

Routing Number:

Bank:

031176110

Capital One, Na

Account Number:

Account Type:

123

Checking

**Section III: Authorization**

By signing below and submitting this form, I certify that the information on this form is complete and correct. I authorize the University of Memphis to electronically deposit to the undersigned bank account via the Automated Clearing House (ACH) in accordance with applicable electronic payment rules. This authorization will remain in effect until it has been canceled or terminated at any time by the University or named bank. I authorize the University of Memphis to initiate withdrawal transactions from my account in the event of an overpayment or erroneous deposit without notice.

☒ I have read, understand, and consent to the terms in the Authorization section.☒ I authorize these changes 

This is a test

Typed Name (as Signature)

# Contact Information

Payroll Department– 272 Administration Building

[payroll@memphis.edu](mailto:payroll@memphis.edu)

Russ Teague

Payroll Manager

[rteague@memphis.edu](mailto:rteague@memphis.edu)

Accounts Payable Department– 275 Administration Building

[accountspayable@memphis.edu](mailto:accountspayable@memphis.edu)

Vicky Aycock

Accounts Payable Manager

[vaycock@memphis.edu](mailto:vaycock@memphis.edu)

**Questions?**



# 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](https://workforum.memphis.edu).
- Follow the Division of Business & Finance on Twitter at [@uofmemphisbf](https://twitter.com/uofmemphisbf)!
- Subscribe to our WorkforUM Twitter feed at [@umemphisjobs](https://twitter.com/umemphisjobs)!
- Follow us on Instagram! [@uofmhr](https://www.instagram.com/uofmhr)



# Announcements & Deadlines

## COVID-19 Updates:

- Masks are strongly recommended to be worn by all persons while indoors and in places where maintaining appropriate social distancing is not possible.
- [View the state law regarding masks \(14-2-104\) >](#)
- All students, faculty and staff are strongly encouraged to receive the COVID-19 vaccine. [Learn more >](#)
- Do not come to campus if you are experiencing symptoms, are in isolation or quarantine due to positive test results or exposure, pending test results, or have reason to believe you have come in contact with the virus.
- Daily symptom monitoring and self-reporting of positive test results are required. [View requirements and instructions >](#)



# Announcements & Deadlines

## Secure Data Uploads:

- Payroll, General Accounting, Accounts Payable, and the Tax Office all now have secure upload utilities available for UofM employees to securely submit documents containing sensitive information.
- Links to each area's upload utility are on the homepages of each department.





# Announcements & Deadlines



## Staff Performance Appraisals in SAMS:

- Staff Performance appraisals are coming up!
- Due April 30, 2022 and should reflect the standard appraisal period of May 1, 2021 thru April 30, 2022 in most cases.
- Training sessions are available now in [Learning Curve](#). Look for “Staff Appraisals Made Simple.”
- <https://www.memphis.edu/performance>





# Announcements & Deadlines

## BENEFITS UPDATES:

- **DELTA DENTAL**  
Employees might receive 2 Delta Dental packets which contain your ID cards. The first mailing of the ID cards contained the incorrect customer service number. The updated mailing will contain the updated ID card with the correct customer service number which is 800-552-2498. If you did not receive your dental cards you can reach out to Delta Dental at the mentioned customer service number.
- **UPDATE TO 2022 SPECIAL ENROLLMENT EVENTS**  
Effective January 1, 2022, employees who acquire a new dependent will have 30 days to add them to their insurance coverage (formerly this was 60 days). This includes adding a newborn. (You must also submit proof as listed on the enrollment application).



# Announcements & Deadlines

## Student Worker Updates:

- Remember to post student worker positions in Handshake before processing an e-contract. Visit [www.memphis.edu/studentemployment](http://www.memphis.edu/studentemployment) for more information.
- The University is implementing an increase to the minimum student worker pay rate to \$9 per hour effective Spring 2022 and \$10 per hour effective Fall 2022. Affected appointments already submitted for the spring will have their jobs changed in Banner by HR.
- In Fall 2022, a student job classification system will be implemented where student workers will be categorized into specific job classifications based on the level of responsibilities and functions they will be performing. Changes related to this process will be communicated in the coming months.





# Announcements & Deadlines



## Separation & Clearance:

- Please remember to immediately complete online separation notices for any employees you have that are departing the University!
- Not doing so can lead to an audit finding because the employee would still have access to University systems.
- <https://umwa.memphis.edu/sep-clear>



# Announcements & Deadlines

## 2022 E-Contract trainings have been scheduled:

- Part-Time Faculty
- Temporary Employees
- Student Workers
- Extra Compensation
- Graduate Assistants
- Faculty Summer Compensation handled by the Provost's Office
- Sign up in [Learning Curve!](#)





# Announcements & Deadlines



**Quarterly WorkforUM trainings have been scheduled in Learning Curve for 2022:**

- January 26
- April 27
- July 27
- October 26
- Sign up in [Learning Curve!](#)



# Announcements & Deadlines

## Values in Action (VIA)

- New workshop series where employees will learn how to incorporate the University's Values in their daily actions. Sessions will be hosted on Zoom at midday, so you can watch and learn while enjoying your lunch.
- On January 25, join HR and a specialist from Optum as we explore ways to practice the University's Value of Accountability through a workshop titled, "Making the Most of Your Working Day." Participants will learn:
  - Strategies for better time management
  - The importance of finding balance
  - How perfectionism and procrastination can get in the way of productivity
  - How to classify tasks in order of importance
  - How to minimize distractions
- Sign up in [Learning Curve!](#)





# Announcements & Deadlines



In April, HR will host a special series of virtual workshops hosted by the [American Heart Association](#). These will be every Friday from 12-1 p.m.

- April 1: [Move More](#)
- April 8: [Eat Well](#)
- April 15: [Be Well](#)
- April 22: [Women and Heart Disease](#)

No registration required!



# Announcements & Deadlines

- 2021 Total Compensation Statements will be released in the MyMemphis portal around the beginning of February 2022.
- These are not to be confused with W-2 tax forms, which will be released electronically or mailed by January 31, 2022, depending on which method you have chosen to receive yours.





# Announcements & Deadlines



- New pool postings for temporary employees have been created for the 2022 calendar year.
- Departments can now access the clerical & professional temporary pool postings in WorkforUM without using a guest username & password. Use the Assistant user group to view these postings.
- Look on the blue side of WorkforUM under Postings > Temporary.
- Pool postings for Custodial, Landscape, Skilled Trades are limited to areas that make those types of hires.



# Announcements & Deadlines

- As of January 2022, faculty leave reports now have line items for Bereavement, Jury Duty, Military, Inclement Weather, and Voting Leave.
- All regular faculty members, whether 9-month, 10-month, or 12-month, are eligible for these types of leave and needed a way to claim it.
- Users with no leave to report do not have to enter zeroes on each of these new lines (just one entry anywhere on the leave report).





# Announcements & Deadlines



## The 5<sup>th</sup> Annual Excellence Awards:

- Honoring excellence of staff members at the UofM
  - Presidential Excellence Award
  - TIAA Excellence Awards (by division)
  - Community Service Outreach Award
- Call for nominations due date is Friday, Jan. 28, 2022. You have received an e-mail with a link to the nomination portal.
- In-person ceremony scheduled for March 21, 2022.



# Announcements & Deadlines

## **TEMPORARY E-CONTRACT AUTOMATIC E-MAIL REMINDERS:**

- As of October 26th, automatic email reminders are being sent to the originators of the eContracts 60 and 30 days before the expiration date.
- This should help to decrease the manual work and increase the probabilities of renewing the eContract ahead of time to avoid system access loss.





# Announcements & Deadlines



## Form I-9 Information:

- Appointments not needed during regular business hours.
- Visit 143 Administration Building M-F 8-4:30.
- Questions? [i9@memphis.edu](mailto:i9@memphis.edu)



# Announcements & Deadlines

## ARE YOU FEELING OVERWHELMED?

The State of Tennessee's Employee Assistance Program can help.

- The EAP is available for all benefits-eligible employees and their dependents, 24/7/365.
- You do not have to be enrolled in health insurance to take advantage.
- The EAP can help with work-related, personal and/or financial issues.
- You may receive five EAP visits per situation per years at no cost to you.
- All conversations are confidential.

For authorization, call or visit:  
855-HERE4TN or [Here4TN.com](http://Here4TN.com)





# Announcements & Deadlines



## CAMPUS CLEANOUT

**MARCH 2022**  
**ADDITIONAL DETAILS AT NEXT MONTH'S MEETING**



# Announcements & Deadlines



- The University is implementing a new system called **Softdocs**, which will **eventually replace DocuSign** as our digital tool for electronic signatures.
- Current B&F DocuSign forms are being converted to Softdocs to increase Banner connectivity and reduce costs.
- These include the Direct Deposit forms, Volunteer Registration forms, Adjustment Time Sheets, and others.
- Be on the lookout for these new versions!



# Announcements & Deadlines

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





The background of the slide is a photograph of a university campus. It features a paved walkway in the foreground, flanked by grass and trees. In the background, there is a large, multi-story brick building with white horizontal accents. The scene is bathed in the warm, golden light of late afternoon or early morning, with long shadows and a bright sun visible in the upper right corner, creating a lens flare effect. The overall atmosphere is peaceful and academic.

# **NEXT MEETING**

**Tuesday, February 15, 2022**  
**2:30 p.m.**

**Web: [memphis.edu/focus](https://memphis.edu/focus)**  
**Meetings: [memphis.edu/focuszoom](https://memphis.edu/focuszoom)**