

An aerial photograph of a large university campus at sunset. The sky is filled with vibrant orange, pink, and purple clouds. The campus features numerous brick buildings, green lawns, and a prominent tall brick tower in the center. A bridge is visible on the right side of the image.

**Welcome to Focus on Finance & HR!**

**January 19, 2021**



# Agenda

- Hiring Process Reminders
- Audit Notes & Contract Monitoring
- What's Your HR IQ?
- Announcements & Deadlines






# HIRING PROCESS REMINDERS

Kristil Davis  
Director, HR Strategic Initiatives & Talent Management



# Position Prioritization Requests (PPRs)

- Position Prioritizations Request Forms (PPRs) are still required for most regular & temp hiring actions as the moratorium is still underway.
- It is important to remember that the PPR process does not replace the standard WorkforUM hiring processes, which we'll review now.



THE UNIVERSITY OF  
MEMPHIS

Position Prioritization Request Form

Please submit completed form to Human Resources Business Partners at [hrbp@memphis.edu](mailto:hrbp@memphis.edu).

Position Information

Division Name:

College/Department:

Position Title:

Position Number:

Position Vacant Since (Provide Date):

Budgeted/Requested Amount:

Position Funding: Base ☐ Limited ☐  
Auxiliary ☐ Grant ☐

Position Type: F/T Faculty ☐ F/T Staff ☐  
P/T Faculty ☐ Temp Staff ☐

Index:  Fund:  Org:  Account:  Program:  Activity:  Location:

DESIRED ACTION (check one): ☐ Recruitment (Advertise & Fill) ☐ Temporary Hire  
☐ Create New Position ☐ Extra Compensation  
☐ Reclassify Filled Position\* ☐ Interim/Added Duties

\*Action must still be routed through the normal process to include a review of the salary and/or position description for final approval.

REASON FOR REQUEST: ☐ Student Centered ☐ Mission Critical ☐ Grant Support ☐ Other:

JUSTIFICATION: (Please provide information of how you have ensured this is the most efficient way to utilize this position.)

Signatures

REQUESTED:

RECOMMENDED:

Dean/Department Head  Date

Division Vice President  Date

CFO (IF STAFF) OR PROVOST (IF FACULTY) DETERMINATION:

CFO/Provost Signature  Date

APPROVED:  DENIED:

Comments (if any):

President Signature  Date

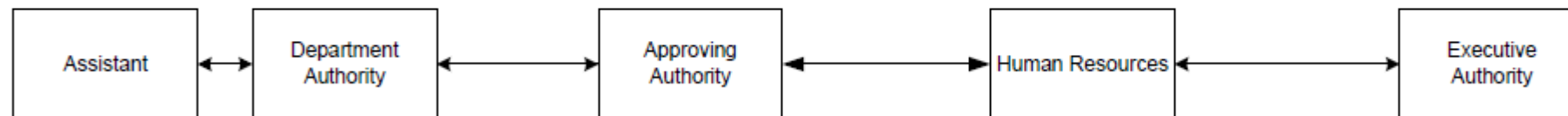
APPROVED:  DENIED:

An Equal Opportunity/Affirmative Action/University

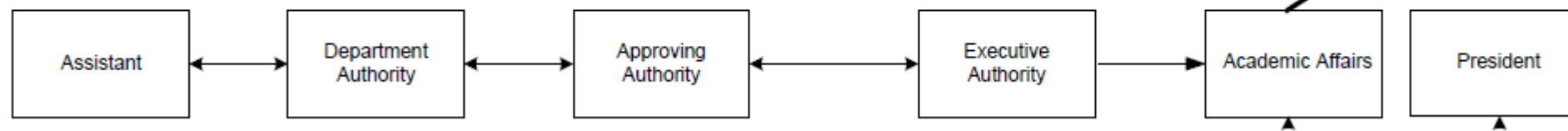
# Hiring Workflows: Requests to Fill



## Request to Fill Existing Position: HOURLY, MONTHLY, ADMINISTRATIVE EXECUTIVE, CONTRACT COACHES



## Request to Fill Existing Position: FULL-TIME FACULTY, ACADEMIC EXECUTIVE

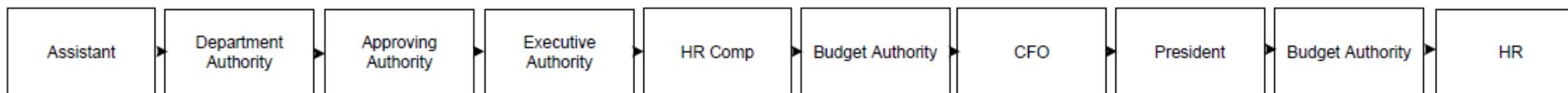


Request to Fill  
Position  
Approved

# Hiring Workflows: New Position Requests

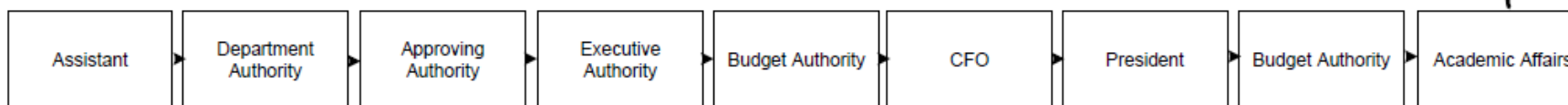


## New Position Request: HOURLY, MONTHLY, ADMINISTRATIVE EXECUTIVE, CONTRACT COACHES



Budget  
documentation  
must be uploaded  
by this step

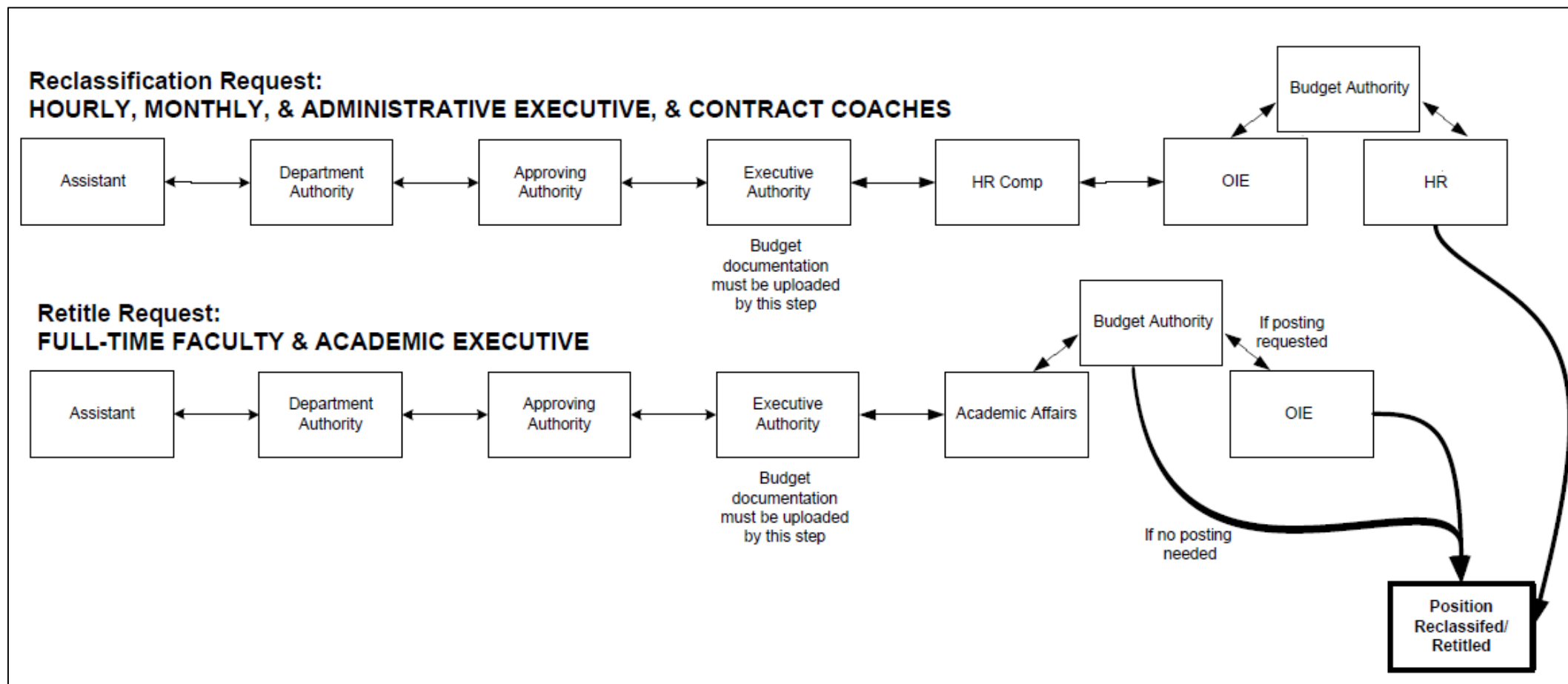
## New Position Request: FULL-TIME FACULTY, PART-TIME FACULTY, & ACADEMIC EXECUTIVE



Budget  
documentation  
must be uploaded  
by this step

New Position  
Approved

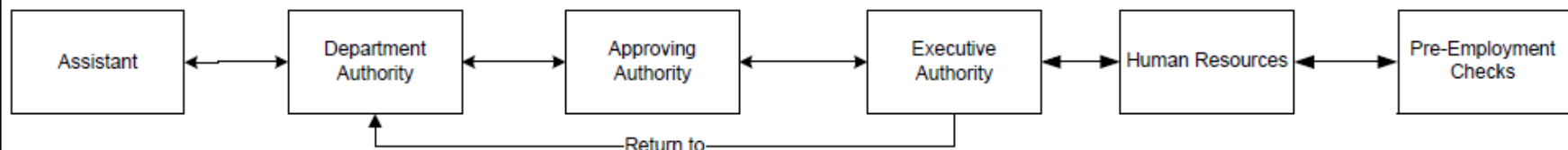
# Hiring Workflows: Reclassifications & Retitles



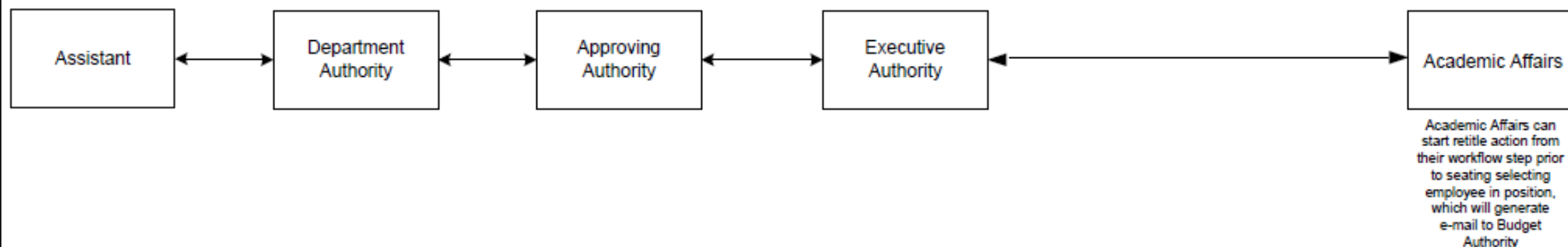
# Hiring Workflows: Hiring Proposals



## Hiring Proposal: HOURLY, MONTHLY, ADMINISTRATIVE EXECUTIVE, & CONTRACT COACHES



## Hiring Proposal: FULL-TIME FACULTY, ACADEMIC EXECUTIVE



Hiring Proposal  
Approved/  
Position Seated



QUESTIONS?



# AUDIT NOTES: CONTRACT MONITORING

Vicki Deaton, Director of Internal Auditing  
Constance Montague Butts, Assistant Director of Procurement & Contract Services



# Contract Monitoring Controls

We recently completed an audit of the University's controls over contract monitoring.

- Management is responsible for establishing adequate internal controls.
- Procurement and Contract Services provides administrative services related to facilitating contracts. But individual University departments are responsible for monitoring their contracts.

# Key Risks of Inadequate Contract Monitoring



- Poor contractor performance
- Overlooking renewals of contracts
- Breach of contract
- Scope creep resulting in increased costs
- Opportunity cost of expense associated with poor performance



# Internal Audit Objective



To review established internal controls over contract monitoring and provide management an independent assessment on whether these controls are adequate and functioning in accordance with management's intentions. To do this, we

1. Reviewed current contract monitoring practices.
2. Determined whether current practices are in accordance with UofM policies, procedures, and applicable Tennessee statutes and regulations.

# Internal Audit Objective



3. Selected a sample of recent UofM revenue and expenditure service contracts greater than \$5,000.
4. Tested the sampled contracts to see if current policies, procedures, statutes and regulations were followed.

# Policy & Statute Requirements



- ❑ Tenn. Code Ann. § 12-3-305(a) requires a monitoring plan to be filed with the procuring state governmental entity's chief procurement officer before any contracts are approved.
- ❑ University Procedure BF10953 Contracts Guideline states the "University shall maintain a monitoring plan for all service contracts."
- ❑ University Procedure BF10953 Contracts Guideline says the Contract Monitoring Plan must identify the designated contract monitor.

# Policy Requirements



- ❑ According to the PCS website, the contract monitor “must have sufficient authority and expertise to identify and take action when contract problems arise.”
- ❑ University Procedure BF10953 Contracts Guideline states “A completed Contract Routing Form as well as all relevant attachments must accompany all agreements or amendments submitted to the Procurement and Contract Services Office for review. The Contract Routing Form must be signed by a University official verifying compliance with all applicable policies and guideline.”



# Policy Requirements



- ❑ University Procedure BF10953 Contracts Guideline requires all contracts to contain a provision that states that the contractor's activities shall be subject to monitoring by the University and/or state officials.
- ❑ University Procedure BF10953 Contracts Guideline requires all contracts to contain a right to audit clause, except for one-time fixed payment contracts and grant related contracts that require a similar but more extensive provision.

# Audit Issues Identified

1. In current practice, contract monitoring plans were not retained by Procurement and Contract Services, but by the department procuring the service.
2. In the sampled contracts, contract monitoring plans were not timely completed or retained by the department.
3. In the sampled contracts, a Contract Routing Form could not be located.

# Audit Issues Identified

4. In the sampled contracts, a designated contract monitor had terminated from the University.
5. In the sampled contracts, many did not include the contract monitoring provision.
6. In the sampled contracts, many did not include the right to audit clause.

# Audit Action Plans Developed



- ✓ Action plans were developed University-wide with the various Deans and Division Management of the sampled contracts.
- ✓ A recommendation was made to the management of these divisions and academic units to educate designated contract monitors, faculty, and staff on the contract monitoring requirements of University procedures and the applicable Tennessee statute.





# Audit Action Plans Developed

- ✓ Action plans were developed with Procurement and Contract Services.
- ✓ Procurement and Contract Services will revise the current Contract Routing Form to include Contract Monitoring Plan information.
- ✓ Procurement and Contract Services will revise the current Contract Routing form to include an alternate contract monitor.



# Audit Action Plans Developed

- ✓ Procurement and Contract Services will offer training on contract monitoring responsibilities.
- ✓ Procurement and Contract Services will update the website to include more information on contract monitoring.
- ✓ Procurement and Contract Services will require a contract monitoring provision in all contracts.



# Audit Action Plans Developed

- ✓ Procurement and Contract Services will require right to audit language in all contracts.
- ✓ Constance Butts, Assistant Director of Procurement and Contract Services, will provide information on some changes being implemented to address the audit issues related to noncompliance with University policies and state statute.



# CONTRACT MONITORING PLAN

Constance Montague Butts  
Assistant Director  
Procurement and Contract Services

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



# Contract Routing Form Update



- In compliance with the Audit Action Plans, there are two major changes to the Contract Monitoring Plan: Alternate Contract Monitor and Revised, Electronic Monitoring Form.
- Current routing form requires departments to have a primary Contract Monitor. Routing form has been revised for departments to designate and list an Alternate Contract Monitor. (department transfers, resignations, etc.)

# Contract Routing Form Update

- A link has been added to the Routing Form [this link](#) with hyperlink directing departments to the new contract monitoring form.
- While completing the routing form, click the link to access the contract monitoring form.
- For continued completion, based on frequency, the monitoring form has been added to BF-Forms, Procurement section.



# Monitoring Form Update

- Contract Monitoring form should be completed based on frequency of monitoring selected by Contract Monitor, (quarterly, semi-annually, annually), documenting contractor's performance based on agreement/contract scope of services and terms and conditions.
- Complete all sections that apply at that time. Upon completion, the monitoring form will be filed electronically and saved to Qualtrics for our records.

# Contract Monitoring Plan

- Contract Monitors should create follow-up reminders to ensure contracts are monitored as based monitoring frequency. Suggest creating a calendar follow up reminder.
- Requesting departments discard previous version of both forms and start using revised forms.
- Old versions of the routing forms may be returned for departments to re-submit using current version.

# Links & Contact



- Contract Routing Form:  
<https://bf.memphis.edu/forms/procurement/routing.html>
- Contract Monitoring Plan:  
[https://memphis.co1.qualtrics.com/jfe/form/SV\\_4NKGvLiO05LyJVP](https://memphis.co1.qualtrics.com/jfe/form/SV_4NKGvLiO05LyJVP)
- Procurement and Contract Services:  
<https://www.memphis.edu/procurement>
- Contact Information: [procurement@memphis.edu](mailto:procurement@memphis.edu)



# Contact Information

Office of Internal Audit & Consulting – 271 Administration Building  
[www.memphis.edu/audit/](http://www.memphis.edu/audit/)

Vicki D. Deaton, CISA, CFE  
Chief Audit Executive  
[vddeaton@memphis.edu](mailto:vddeaton@memphis.edu)

Jesse Pierce, CISA, CRISC  
Senior Information Technology & Network Security Auditor  
[jjpierce@memphis.edu](mailto:jjpierce@memphis.edu)

Chelon Wilson, CFE  
Senior Internal Auditor  
[cwlson14@memphis.edu](mailto:cwlson14@memphis.edu)

Emily Bridges, CPA  
Senior Internal Auditor  
[ebridges@memphis.edu](mailto:ebridges@memphis.edu)

# Questions







# WHAT'S YOUR HR IQ?

Danny Linton  
Associate Director, Human Resources

# What's Your HR IQ?



- Using the Polls feature within Zoom, let's take a little anonymous quiz to see if you know the correct answers to some HR process questions!



## Question 1

You want to hire a new part-time faculty member. What is the first thing you should do?

- A) Start a background check
- B) Make sure they have applied in WorkforUM
- C) Start an e-contract
- D) Get them a Banner ID & username



## Question 1

You want to hire a new part-time faculty member. What is the first thing you should do?

B) Make sure they have applied in WorkforUM



## Question 2

You're appointing a graduate assistant for the full academic year. The GA has federal work study funds available. On the e-contract, during which months do you use those funds?

- A) September and January
- B) September and October
- C) March and April
- D) December & January

## Question 2



You're appointing a graduate assistant for the full academic year. The GA has federal work study funds available. On the e-contract, during which months do you use those funds?

A) September and January



## Question 3

Only one of the following work arrangements is allowable.  
Which one?

- A) A graduate assistant also working as a temp
- B) A non-exempt employee teaching a for-credit class at night
- C) An exempt employee teaching a for-credit class at night
- D) A regular employee who retired last month working as an independent contractor



## Question 3



Only one of the following work arrangements is allowable.  
Which one?

C) An exempt employee teaching a for-credit class at night

## Question 4

The public can apply for potential part-time faculty positions every month of the year except for when?

- A) February
- B) May
- C) July
- D) December

## Question 4



The public can apply for potential part-time faculty positions every month of the year except for when?

A) February

## Question 5

Interview notes & other materials related to the hiring process for regular employees must be kept on file by your department for what period of time?

- A) Until the selected interviewee is seated & begins work
- B) 1 year
- C) 3 years
- D) 5 years



## Question 5

Interview notes & other materials related to the hiring process for regular employees must be kept on file by your department for what period of time?

D) 5 years



## Question 6

What is the maximum amount of annual leave an employee may roll from one fiscal year to another?

- A) 270 hours
- B) 315 hours
- C) 350 hours
- D) It depends on how many years the employee has worked

## Question 6



What is the maximum amount of annual leave an employee may roll from one fiscal year to another?

B) 315 hours



## Question 7



I was directly exposed to someone who has COVID-19 but I don't show any symptoms. What should I do first?

- A) Tell all my co-workers
- B) Go get tested and return to work
- C) Continue to report to work as normal since you are asymptomatic
- D) Contact Human Resources ASAP and discontinue working onsite

## Question 7



I was directly exposed to someone who has COVID-19 but I don't show any symptoms. What should I do first?

D) Contact Human Resources ASAP and discontinue working onsite



## Question 8

You are out of annual leave but you're due to accrue 15 hours on January 31. When can you take those 15 hours?

- A) January 1
- B) Anytime after January 15
- C) January 31
- D) February 1 or later

## Question 8



You are out of annual leave but you're due to accrue 15 hours on January 31. When can you take those 15 hours?

D) February 1 or later



## Question 9

You are hiring a regular employee at Southwest TN Community College to teach a class at UofM. How do you pay them?

- A) Extra Compensation E-contract
- B) Part-Time Faculty E-contract
- C) Dual Services Agreement
- D) Payment to Independent Contractor Form

## Question 9



You are hiring a regular employee at Southwest TN Community College to teach a class at UofM. How do you pay them?

C) Dual Services Agreement



## Question 10

My COVID-19 test results are pending. What should I do?

- A) Tell all my co-workers you are awaiting results
- B) Go get tested a second time
- C) Assume you're negative & continue to report to work as normal
- D) Contact Human Resources ASAP and discontinue working onsite



## Question 10



My COVID-19 test results are pending. What should I do?

D) Contact Human Resources ASAP and discontinue working onsite

## Question 11

When do I first do a performance appraisal on my newly-hired staff employee?

- A) After his/her first 2 weeks
- B) At 3-month anniversary
- C) At 6-month anniversary
- D) The nearest April 30 deadline

## Question 11

When do I first do a performance appraisal on my newly-hired staff employee?

C) At 6-month anniversary



## Question 12

I am hiring a temporary employee who has never worked at the UofM before. Assuming I have an approved PPR form, what should I do first?

- A) Send them to new employee orientation
- B) Have their I-9 form completed
- C) Start them immediately; paperwork can always be done later
- D) Have them apply in WorkforUM

## Question 12



I am hiring a temporary employee who has never worked at the UofM before. Assuming I have an approved PPR form, what should I do first?

D) Have them apply in WorkforUM

## Question 13



Under which of these circumstances should I NOT request a special check?

- A) When an extra compensation payment was missed
- B) When no base salary was received at all
- C) I am a student with a special situation
- D) I am no longer employed by the University

## Question 13



Under which of these circumstances should I NOT request a special check?

A) When an extra compensation payment was missed

## Question 14

My January leave report didn't get approved by February 10<sup>th</sup>. Who can approve it now?

- A) No one
- B) President Rudd
- C) Only a user with superuser access
- D) My supervisor



## Question 14

My January leave report didn't get approved by February 10<sup>th</sup>. Who can approve it now?

C) Only a user with superuser access



## Question 15

TRUE or FALSE: The terms “biweekly employee” and “non-exempt employee” can & should be used interchangeably.

- A) True
- B) False

## Question 15



TRUE or FALSE: The terms “biweekly employee” and “non-exempt employee” can & should be used interchangeably.

B) False



QUESTIONS?



# ANNOUNCEMENTS & DEADLINES

# Announcements & Deadlines



- Introducing Julie Ahart  
Assistant Director, Employee Relations & Compliance



# 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](http://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



- American Heart Association Walk – we need walkers! Sign up to register [here](#).
- Questions? [engagement@memphis.edu](mailto:engagement@memphis.edu)

## 2021 Mid-South Heart Walk and Red Dress Dash

Saturday, April 24, 2021

Register

Donate

### Date & Time

Saturday, April 24,  
2021  
Check-In: 7:30am  
Start Time: 8:30am

### Location

FedExForum  
191 Beale St.  
Memphis, TN 38103

### Contact

Your Heart Walk  
Team  
678.896.1812

[i More Details](#)

[Get Directions](#)

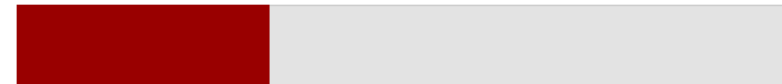
[Email Us](#)

Our Progress

**\$170,186.52**

Our Goal

**\$520,000**





# Announcements & Deadlines

- Be sure to keep your Work Location Status updated in the top middle section of the MyMemphis Employee tab.
- You may choose from Working on Campus, Working Remotely, or Hybrid (Both).
- This applies to ALL employees, including temps, GAs, part-time faculty, and student workers.



# Announcements & Deadlines

- Online Total Compensation Statements for 2020 are likely being held until February 2021 to reduce confusion with the January release of online W-2 statements.
- When Total Compensation Statements are released, they will be on the Employee tab of MyMemphis, and an e-mail notification will be distributed.



# Announcements & Deadlines

- Employees who haven't opted in to receiving their Form W-2 online are being contacted this week, encouraging them to sign up.
- Online W-2s will be released the last week of January and employees who have opted in will be notified.
- Paper W-2s will be postmarked by January 31 for those employees who have not opted in.

# Announcements & Deadlines

- Part-time faculty assignments will now have service dates +/- 21 days around the scheduled start & end date for classes. The same is true for graduate assistants listed as the instructor of record.
- People teaching via extra compensation contracts will also have their dates extended. All e-contracts have been updated.

# 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 have been launched in WorkforUM.
- Faculty members have received the usual e-mail notifications from the system to begin their self-appraisals.
- Questions? [facultyevals@memphis.edu](mailto:facultyevals@memphis.edu)





# Announcements & Deadlines

- Staff performance appraisals are coming up!
- The standard staff employee evaluation period is May 1, 2020 thru April 30, 2021. Start planning now by reviewing last year's (and next year's) goals!
- [memphis.edu/performance](https://memphis.edu/performance)
- Questions? [emprelations@memphis.edu](mailto:emprelations@memphis.edu)



# Announcements & Deadlines

- COVID-19 Vaccinations
- The University has requested to be included with the K-12 population as related to vaccine prioritization. As we hear back, details will be shared with the University population.
- Always be sure to check the website for updates; this site changes often!



# Announcements & Deadlines

- WorkforUM Training  
Live via Zoom  
January 27 at 9:30am  
Sign up in Learning Curve!
- E-Contract trainings for the spring have also been added to Learning Curve.

# 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](mailto:hr@memphis.edu)



An aerial photograph of the University of Memphis campus during sunset. The sky is filled with vibrant orange, pink, and purple clouds. The campus features several large, multi-story brick buildings, green lawns, and numerous trees. A prominent tall brick tower is visible in the lower center. In the foreground, there are parking lots and a road. The overall scene is peaceful and scenic.

# **NEXT MEETING**

***Tuesday, February 16, 2021 @ 2:30pm***  
***[memphis.edu/focuszoom](https://memphis.edu/focuszoom)***



An aerial photograph of the University of Memphis campus during sunset. The sky is filled with vibrant orange, pink, and purple clouds. The campus features several large, multi-story brick buildings, a prominent clock tower, and extensive greenery. A bridge is visible in the lower right corner.

**THANK YOU FOR ATTENDING!**

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