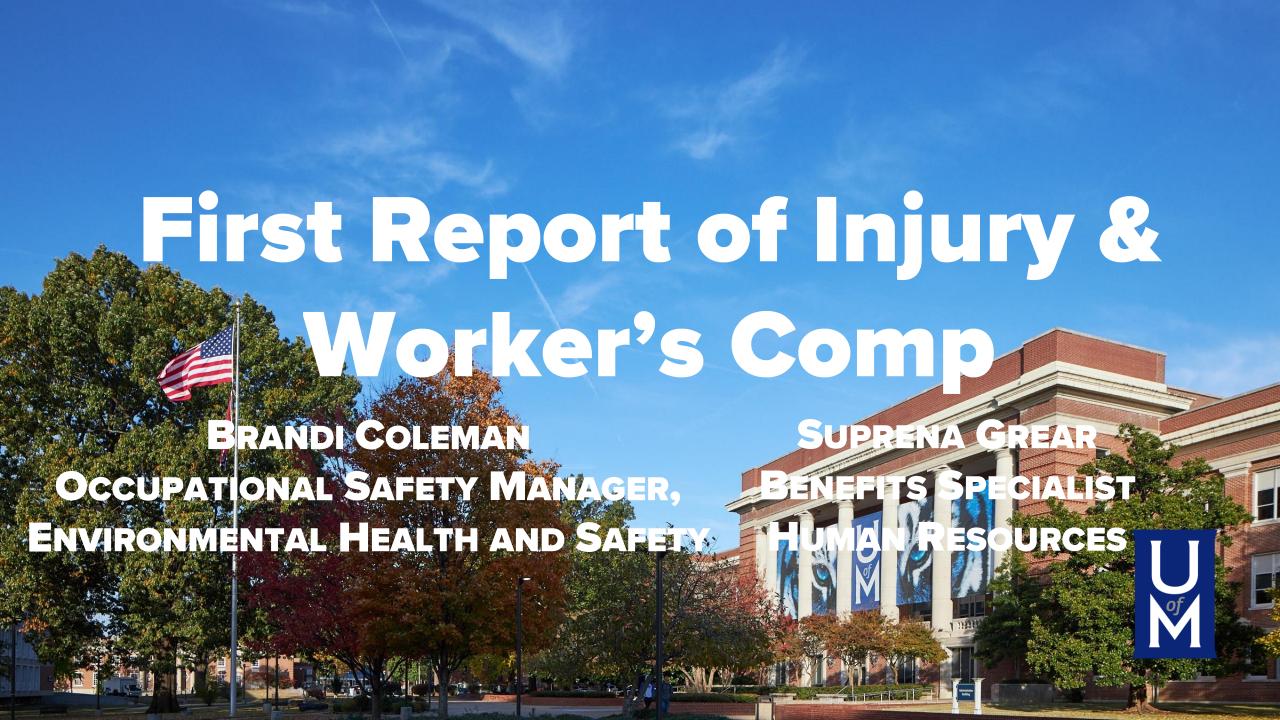


FOCUS ON FINANCE & HR

MARCH 15, 2022

Today's **Agenda**

- First Report of Injury & Worker's Comp
- Audit Notes
- IT Security Updates
- Annual Inventory Confirmation
- Announcements & Deadlines



Steps for Reporting an Injury

- In an Emergency:
 - If you are able, call Police Services at 901-678-HELP(4357)
 - Seek treatment at the nearest emergency room
 - Contact Workplace Injury and First Notice of Loss Call Center at 1-866-245-8588
 within 72 hours; preferably within the first 24 hours
 - Inform your direct supervisor
 - Fill out the <u>First Injury Report</u> and submit to both Environmental Health and Safety (<u>ehs@memphis.edu</u>) and Human Resources (<u>benefits@memphis.edu</u>)

Steps for Reporting an Injury

- In a Non-Emergency:
 - Contact your direct supervisor immediately
 - Contact Workplace Injury and First Notice of Loss Call Center 1-866-245-8588
 within 72 hours; preferably within the first 24 hours
 - Select option #1 to speak with an RN who will assess the situation
 - If medical treatment is needed, they will direct, you to the nearest State approved facility
 - If NO medical treatment is needed, they will document the call and enter the reporting system
 - Fill out the <u>First Injury Report</u> and submit to both Environmental Health and Safety (<u>ehs@memphis.edu</u>) and Human Resources (<u>benefits@memphis.edu</u>)

Updates to Injury Form

 There have been new forms updated to the Environmental Health and Safety Website:

https://www.memphis.edu/ehs/report_an_incident/index.php

- Employees Injury Report
 - Meant for Staff, Faculty, Student Workers, Temporary, Adjunct, Etc.
- Visitors/Students Injury Report
- The <u>EH&S website</u> has also been updated with all related information.

Call the Workplace Injury and First Notice of Loss Call Center at 1-866-245-8588 within 3 days of injury, preferably in the first 24 hours!



First Report of Injury or Illness

Regardless if medical treatment was obtained, this report must be returned within 24 hours of injury/illness to:

Environmental Health and Safety, 414 JM Smith Hall

You may submit the file using the button at the bottom of the second page or email it directly to ehs@memphis.edu and benefits@memphis.edu

Contact Information

- Environmental Health and Safety
 - Brandi Coleman
 - bclman13@memphis.edu
 - 901-678-2740
 - Amanda DiFucci
 - adifucci@memphis.edu
 - 901-678-5700
- Human Resources
 - <u>benefits@memphis.edu</u>
 - 901-678-3573
- Workplace Injury and First Notice of Loss Center (Corvel)
 - 1-866-245-8588



Workers Compensation and the Supervisor

- Supervisor and employee complete the First Report of Injury (if medical emergency, seek treatment at nearest emergency room).
- If medical attention is needed contact Corvel; do not seek medical attention prior to contacting Corvel.
- The Workplace injury and First Notice of Loss call Center operates 24/7. The contact number is 1-866-245-8588.
- Keep HR informed
- All incidents and Accidents much be reported within 24 to 48 hours; If not your department will incur a \$500 penalty per incident

Questions?



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 – Separation and Clearance Process

UofM Policy HR5054 - Separation from Employment

The policy's intent is:

- to establish a reliable and uniform method of processing and reporting employee separations from the University;
- to ensure objective and fair treatment of employees leaving the University, while preserving institutional authority and discretion;
- and to ensure that appropriate clearance actions are completed prior to an employee's last workday.

Management Control – Separation and Clearance Process

UofM Policy HR5054 - Separation from Employment

Employees of the University and/or their respective department heads are required to complete certain administrative actions when employees separate from the University.

Individuals who leave employment with the University are expected to return University property and satisfy outstanding financial or other obligations before the last workday.

Management Control – Separation and Clearance Process

UofM policy HR5054 - Separation from Employment requires an Employee Separation and Clearance Form be initiated and submitted for all voluntary separations of Faculty, Staff, and Temporary employees.

This form is not used for terminating Students, GAs, or Part-time Faculty. These types of employees are terminated when the eContract has been revised with an updated Service End Date.

Management Control – Separation and Clearance Process Actions

From the Separation Checklist: Employee Responsibilities

- If retiring, contact HR for help in determining leave payout and processing final retirement documents
- If transferring to another state agency, contact HR for help in determining accrued leave transfer
- Notify supervisor of plan to separate from University
- Complete and submit final timesheet or leave report
- Return all University property
- Pay all debts and reimbursements owed to the University
- Complete the Online Exit Questionnaire

Management Control – Separation and Clearance Process Actions

From the Separation Checklist: Supervisor Responsibilities

- Complete Separation and Clearance Form immediately upon notification for all voluntary separations of Faculty, Staff, and Temporary employees. The online Separation and Clearance Form can be found at www.memphis.edu/sep-clear. All approvals are obtained electronically during the routing of the form. The employee, the supervisor/manager, and the submitter of the form will receive copies of this notification form.
- Verify Separation and Clearance Form was routed to and approved by all parties.

Management Control – Separation and Clearance Process Actions

From the Separation Checklist: Supervisor Responsibilities

- Approve employee's final timesheet or leave report
- Report annual and sick leave used by employee in last pay period
- Collect all University property
- Remove access to University resources
- Collect employee's debts and reimbursements to the University
- Notify HR if employee is a Web Time Entry approver or acknowledger
- Update website to remove employee name

Key Risks of Separation and Clearance Process Noncompliance

Terminated employees

May have access to University information systems, including restricted data

Manipulation of University data

Data breach

May have access to University facilities

Damage to University facilities

Unauthorized use of University facilities

May have access to University equipment, including computers and laptops

Theft of equipment, computers, laptops

Unauthorized use of equipment, computers, laptops

May not receive accurate final pay

Loss of University funds

University liability to employee

May leave with outstanding debt to the University

Loss of University funds

Separation and Clearance Form

The prompt submission of the online Separation and Clearance Form will result in the notification via e-mail of affected University departments.

As a result of completing the Separation and Clearance Form, systems access will be removed by IT Security Officers.

Policy IT6000 Data Access

"Access to Banner data will be revoked on or before the date of employee termination specified by Human Resources unless an appropriate future job contract has been loaded into Banner."

Internal Audit Objective – Separation and Clearance Process

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 organization's Separation and Clearance Forms.

- We get a list of all voluntarily terminated employees for the organization for the last few years.
- Then we verify that Separation and Clearance Forms were submitted for the terminated employees.

Audit Issue Identified

In several organizations audited the past few years, we found Faculty, Staff, and Temporary employees who voluntarily terminated, but a Separation and Clearance Form was not completed.

State Auditors test employee terminations too. They are particularly concerned with terminated employees who have retained access to Banner past their employment because the Separation and Clearance Form was not completed timely.

Failure to timely complete the Separation and Clearance Form may have caused University information systems, data, facilities, equipment, and funds to be at risk.

Audit Recommendations

Organizational management should ensure that a Separation and Clearance Form is initiated to begin the separation process as early as possible, and prior to the last workday of all voluntary separations of Faculty, Staff, and Temporary employees. The online Separation and Clearance Form can be found at http://www.memphis.edu/sep-clear.

Organizational management should ensure that all action items on the Separation Checklist are completed.

Contact Information

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

Vicki D. Deaton, CISA, CFE

Chief Audit Executive

vddeaton@memphis.edu

Jesse Pierce, CISA, CRISC

Senior Information Technology & Network Security Auditor

jjpierce@memphis.edu

Emily Bridges, CPA

Senior Internal Auditor

ebridges@memphis.edu

Linda Soder, CIA, CRMA

Senior Internal Auditor

Isoder@memphis.edu

Questions?





Phishing Simulation campaigns



March 1 — September 30



Target audience



Test training effectiveness



Phish alert button

Enhanced Network Security

Additional firewall rules

Prevent connections involved vulnerabilities



IT Security and Identity
Management

Questions?





Policy & Statute Requirements

- Annual Inventory Confirmation is a required procedure: <u>BF4025 Policy</u>
- Once a year Accounting will send a Fixed Asset Inventory report of capital assets only by Organization to Equipment Reps and Financial Managers.
- It is essential that you maintain accurate and up-to-date records of your department's inventory.
- State and Internal Auditors verify Inventory Confirmations as part of their normal audit procedures. Failure to complete Inventory Confirmations could be reported as an audit finding.

Fixed Assets Categories

- "Capital Equipment" is a single item costing \$5,000 or more.
- "Sensitive Minor Equipment" is particularly vulnerable to theft and has a cost between \$1,500.00 and \$4,999.99. Examples of items that may be viewed as sensitive minor equipment include: boats, boat motors, boat trailers, canoes, cameras, computers, audio and video equipment, microscopes, oscilloscopes, and other scientific equipment.
 - This category is NOT included in Report this year.
- Controlled Equipment under \$1,500 is not included in Report.

Fixed Assets Categories

Report of all assets may be obtained from Banner ePrint – Banner Finance Repository – FYFR001-Fixed Asset Inventory Listing.

Per policy, "departments should take every precaution to safeguard ALL state property, regardless of cost." Therefore, we strongly recommend you take this time to inventory and confirm Sensitive Minor Equipment and Controlled Equipment (between \$0 - \$4,999) as well. This report would be for your use only and should not be sent to Accounting as part of the confirmation process. Only the confirmation report of capital assets should be completed and submitted to Accounting.

Annual Inventory Confirmation Process

- 1. Print a copy of the Confirmation and read instructions carefully.
- 2. Physically confirm the location of all assets.
- If information is missing or incorrect, update asset description information (make, model, serial number, etc.) on the confirmation report, preferably using a red pen or font. Changes to description, make, model and serial number are made by Financial Reporting.
- 4. If Location is missing or incorrect, update it through Fixed Asset Workflow. (indicate WF on confirmation). If Location is "Off Campus", be sure to submit the Off-Campus Use/Return of University Equipment form to Financial Reporting.
- If asset has been transferred to another Organization, update it through Fixed Asset Workflow. (indicate WF on confirmation).
- 6. If needed, zero value assets through Fixed Asset Workflow (indicate WF on confirmation).

Annual Inventory Confirmation Process

- 7. To add capital assets, complete the Items in Department Not on Inventory form and send with completed inventory confirmation.
- 8. Ensure you have a Off-Campus Use/Return of University Equipment completed for all Off-Campus items (112688 and 112687).
- 9. You must complete a <u>Report of Lost or Stolen Property Form</u> and file it with Police Services for all missing/lost/stolen items. Also, send a copy of the form to Financial Reporting.
- 10. Upon completion of confirmation of all assets on the report, forward a copy of the signed confirmation report to Financial Reporting by March 31, 2022.

Annual Inventory Confirmation – Samples

Completed Report

Report Run:4/20/2020 12:49:18 PM

Report ID: FYFR001 University of Memphis Page 1 of 259 **Inventory Confirmation Report**

Decal	Description	Book Value I	Net ∀alue	Make	Model	Serial Number	Acq Date	Location	Locn
Responsib	ole Organization: 100500	University Board Governance					<u> </u>		
013344000	EXT60138101-DTP CrossPoint 108	10,233	7,931	Extron	DTP CrossPoint 108	A1JWRQ8	04/10/17 Adn	ninistration 107	100024
013344500	Media Site ML820 Recorder	9,755	7,723	Mediasite	ML-820	003-5990020	03/14/17 Adm	ninistration 107	100024

Correction Samples

Page 54 of 259 Report ID: FYFR001 University of Memphis **Inventory Confirmation Report** Report Run:4/20/2020 12:49:18 PM

Decal	Description	Book Value	Net ∀alue	Make	Model	Serial Number	Acq Date	Location	Locn	
Responsible Organization: 212112 Physics Jingbiao Cui										
013094400	Atomic Layer Deposition System	80,700	44,385E	nsure Scientific Group	Atomic Layer	ABC123456	01/13/15 Mai	nning Hall 420	101186	
013094500	Dual Tube Furnace	47,930	25,962	MTI Corporation	Dual Tube Furnace	56984	12/03/14 Mai	nning Hall 420	101186	
013094600	correct accot code-I0585734	9,100	4,853	Edwards 306 Vaccum	*	XYZ256	11/11/14 Mai	nning Hall 420	101186	
013094700	Potentiostat/Galvanostat	5,538	2,907	Gamry Instruments	Potentiostat/Galvanost	Q15-269	10/29/14 Mai	nning Hall 420	101186	
013201600	DXR Raman Microscope, a confocal	49,500	31,762	Thermo	**	714-029900	12/14/15 Mai	nning Hall 420	101186	
013559600	Experimenters Kit with 25mm2	16,025	13,621	Amptek	Experimenter's kit	1)	01/08/18 Mai	nning Hall 221	101069	

^{*} Advanced Series A567

1) 987XWQ268MN

^{**} Fisher IV -777

Items in Department - Not on Inventory

Before adding item to the list:		Make sure that it costs m	ore than \$5,000 (assets that are l	ess than \$5,000.00	are not included in Inve	ntory Confirmation		
		Verify asset through FFIMAST (System Status Code - if "D" or "C" - asset has been previously disposed/cancelled, do not add it to the li Verify asset through FFIMAST (Organization - asset could belong to other ORG and need to be transferd using WF, do not add it to the							
Purchase Order#	Decal #	Description	Asset Type	Make	Model	Serial Number	Location Code		

FFIMAST - Asset Status

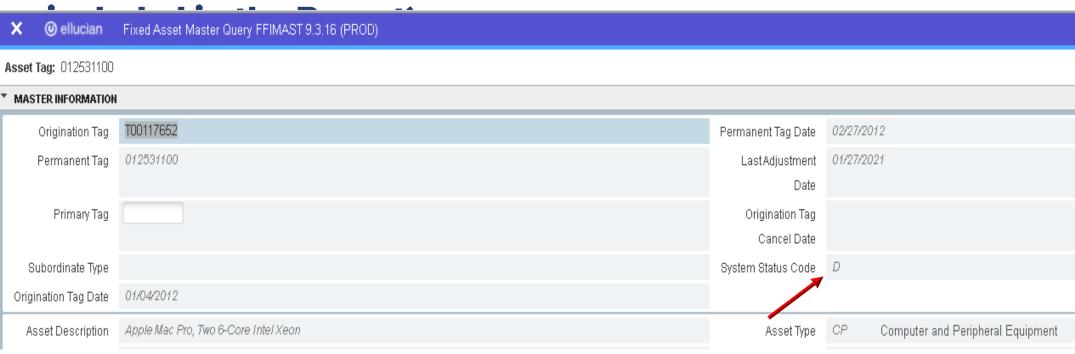
To determine System Status Code of the asset, use the Banner INB FFIMAST page. Enter Decal # (Asset Tag), click on Go

Active Status – System Status Code "J" or "I"

X (@ ellucian	Fixed Asset Master Query FFIMAST 9.3.16 (PROD)							
Asset Tag: 014153000									
▼ MASTER INFORMATION									
Or	rigination Tag	T00148377	Permanent Tag Date	12/14/2	020				
Pe	ermanent Tag	014153000	LastAdjustment						
			Date						
	Primary Tag		Origination Tag						
			Cancel Date						
Subo	ordinate Type		System Status Code	J	Source Journal Voucher				
Original	tion Tag Date	12/14/2020							
Asse	et Description	Worstation Standard	Asset Type	FR	Furniture				

FFIMAST - Asset Status

 Inactive Status - Assets that were previously zero-valued, cannibalized, or disposed are indicated by "D" or "C" (not



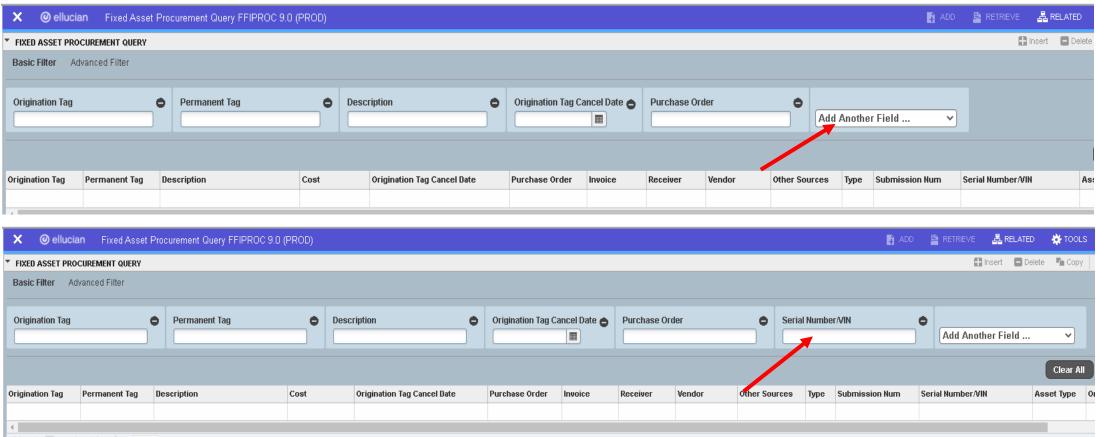
FFIMAST – Organization

To determine which org the asset belongs, use the Banner INB FFIMAST page. Enter Decal # (Asset Tag), click on Go, and then, click on the down arrow in the bottom left of the screen 2 times.



FFIPROC - Fixed Asset Procurement

Query
Additional information may be found using the Banner INB
FFIPROC page by purchase order #, serial #, description or other

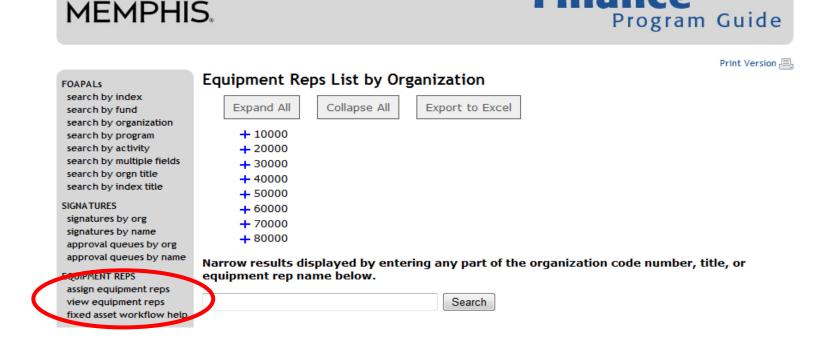


Equipment Representatives Listing

The list of current equipment representatives can be viewed at http://bf.memphis.edu/spectrum/egreps.php

Make sure that each Organization has assigned equipment representative **Finance**

THE UNIVERSITY OF



Location Code Search

The list of location codes can be viewed at https://bf.memphis.edu/spectrum/search-locations.php



data standards manual



Location Code Search FOAPALS search by index search by fund Enter all or part of the building name and click Search to generate a list of corresponding Location search by organization Code matches. search by program search by activity search by multiple fields Search Location: search by orgn title search by index title Search SIGNATURES signatures by org signatures by name approval queues by org approval queues by name EPAF approval queues by EQUIPMENT REPS assign equipment reps view equipment reps fixed asset workflow help CODES account code list location code search

RESOURCES

- Questions / Issues
 <u>wf-fixed-assets@memphis.edu</u>
- Financial Reporting Website Fixed Assets
 http://www.memphis.edu/accounting/fixedassets.php
- ePrint Report FYFR001 (Fixed Asset Inventory Listing)



 Workshop is available on March 23, 2022 at 2:00 p.m. via Zoom

Questions?







- 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



Staff Performance Appraisals in SAMS:

- 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 <u>Learning Curve</u>. Look for "Staff Appraisals Made Simple."
- Virtual Trainings
 - Friday, March 25 | 2-3 PM
- In-Person Trainings
 - Wednesday, March 23 | 9-10 AM
 - Tuesday, March 29 | 3-4 PM
- https://www.memphis.edu/performance



Coming in April

- A new line item will begin appearing in April on the time sheets/leave reports for regular UofM employees.
- The new line item is for FMLA Leave, and should only be used by employees who are currently on an HR-approved FMLA leave.
- DO NOT claim both FMLA Leave AND Sick/Annual Leave; FMLA Leave has been automatically programmed to pull automatically from annual/sick leave as appropriate.



- Effective immediately, to access the Finance Program Guide, HR Program Guide, or Learning Curve, users must be using an on-campus computer OR be connected remotely to the University's VPN.
- Otherwise, these sites or anything else on the B&F web server will not load as expected.

Changes are coming!

- The assigned areas of responsibility for the various HR Senior Business Partners will be shifting July 1, 2022.
- The new assignments will be announced in the coming weeks, and we encourage you to get to know your new Senior Business Partner at our Open House event coming this summer.





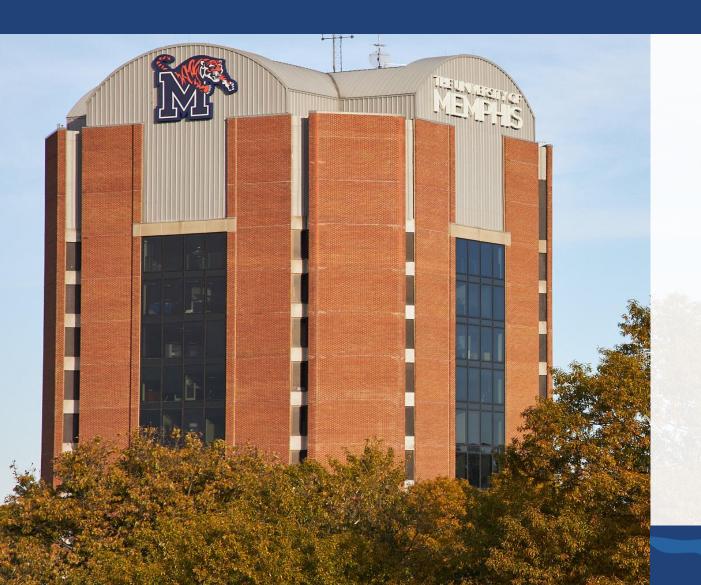
Separation & Clearance:

- 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

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 <u>Learning Curve!</u>





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

- April 27
- July 27
- October 26
- Sign up in Learning Curve!

Upcoming Finance trainings:

- Web Time Entry: March 23, 202211:00am
- Accounting Basics:
 March 24, 2022
 10:30am
- Sign up in **Learning Curve!**





Employee Direct Deposit Form:

- The Employee Direct Deposit form is available online.
- The Payroll and Accounts Payable departments will no longer accept hard copy of this form.

Please visit the Accounting Website if you need to setup a new direct deposit or make any changes to an existing direct deposit.



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

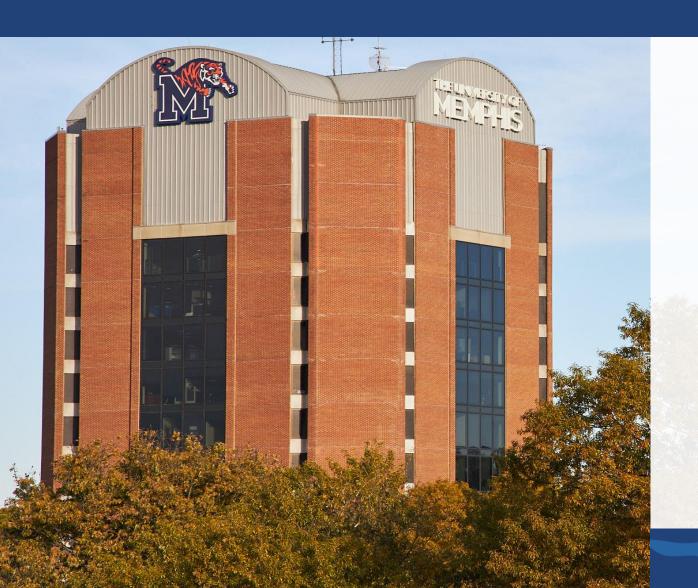
April 15: Be Well

April 22: Women and Heart Disease

No registration required!



- The UofM's 2nd annual <u>Day of Giving</u> <u>campaign</u>, Driven by Giving, will be held from noon to noon on April 5-6 this year.
- We encourage you to sign up to become
 Driven by Giving Ambassadors to help bring in
 donations to an area of campus that you may
 feel personally passionate about.
- Anyone can sign up <u>online</u>, and there are rewards this year to Ambassadors who assist us in reaching our collective goal of surpassing 1,500 donors during the 24-hour period on April 5-6.
- Among the funds you can donate to are the Harriet Montgomery Customer Service Excellence Awards fund.

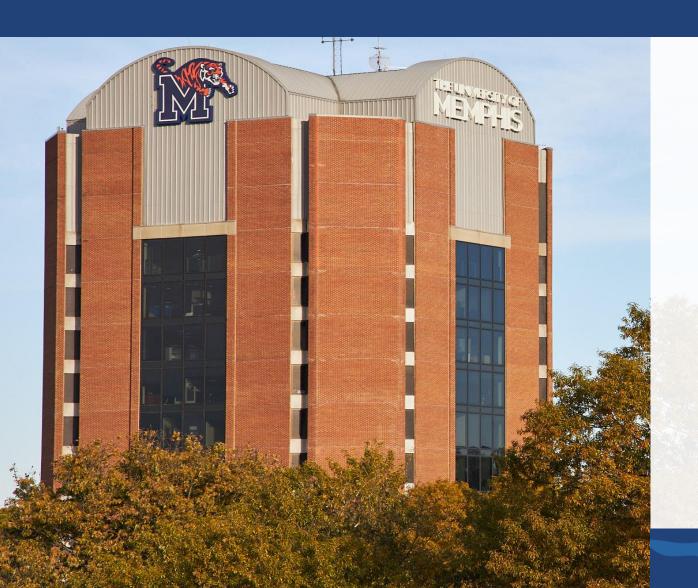


- Through close of business Mar. 18, we are accepting nominations for this month's Harriet Montgomery Customer Service Excellence Award.
- This month, nominations are being accepted for Academic Affairs & Student Academic Success employees only.
- Nominate at https://www.memphis.edu/harriet.



The 5th Annual Excellence Awards:

- Honoring excellence of staff members at the UofM
 - Presidential Excellence Award
 - TIAA Excellence Awards (by division)
 - Community Service Outreach Award
- In-person ceremony scheduled for March 21, 2022.



Form I-9 Information:

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

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





 Need someone added to the Focus on Finance & HR mailing list?

 Don't forward to them forward to us!

• hr@memphis.edu







We hope you have a great day!

