



# **Welcome to Focus on Finance!**

June 23, 2016

# Agenda

- **Who Knew? What's New? What's Due?**
- **Financial Controls & Accountability**
- **Internal Controls, Uniform Circular Audit Findings, & What is Internal Audit**
- **CAYUSE Update**
- **Campus Planning Update**
- **The Impact of Dept. of Labor's Changes to the U of M**

# Who Knew? / What's New? / What's Due?



# Who Knew?

<i>Workshop</i>	<i>Date</i>
Budget Basics UC - Senate Chamber Room 261	Monday, August 22, 2016 9:30 - 11:00 AM
Accounting Basics UC - Senate Chamber Room 261	Tuesday, August 23, 2016 1:30 - 3:00 PM

# What's New?

- New Vendor Setup (Individuals) – Require W-9/W-8 and a copy of State Issued Identification/Passport. (Effective July 1st)
- Revision to the Payment to Individual or Contractor Form (July 2016)

# What's Due? - Bursar

<i>Activity</i>	<i>Deadline</i>
Finalized Fees available for FY17	Late June/early July after TBR approval
Summer 2nd Part of Term (POT) Fee Payment Deadline to avoid deletion of courses for students who are ONLY registered for 2nd POT	Friday, July 1, 2016 by 4:30 p.m.
Employees who plan to use their employee fee waiver may begin to register for fall	Monday, July 25, 2016
Fall approved GA Contracts are due to Graduate School	Monday, August 1, 2016
Fall department tuition fee waivers are due to Bursar	Monday, August 8, 2016
Fall Fee Payment Deadline (4:30 p.m.) to avoid deletion of all registered courses for any fall POT if not paid in full or signed up and paid on the installment payment plan	Friday, August 19, 2016 by 4:30 p.m.

# What's Due? - Current Year

<i>Activity</i>	<i>Deadline</i>
Complete Staples Purchase Orders (FY-16)	Thursday, June 23, 2016
Time Sheet for BW13 Biweekly Payroll (June 11th - June 24th)	Friday, June 24, 2016
Deobligate Remaining Balances of Completed FY-16 POs (Travel - Email/Tigerbuy - Change Order)	Friday, June 24, 2016
Submit Claims for Petty Cash Reimbursement	Monday, June 27, 2016
Online Budget Revisions between Account Pools (i.e. Salaries, Travel, Operating, etc.)	Monday, June 27, 2016
Settle Travel/Supply Advances for FY-16	Monday, June 27, 2016

# What's Due? - July 2016

<b>Ensure Receipts posted for all FY-16 POs.</b>	<b>Friday, July 01, 2016</b>
<b>Preliminary Reports Available on E-Print</b>	<b>Tuesday, July 05, 2016</b>
<b>Deliver Invoices and Travel Claim Reimbursements to Accounting (FY-16)</b>	<b>Wednesday, July 06, 2016</b>
<b>Submit Transfer Vouchers (FY-16 Corrections) to Accounting</b>	<b>Wednesday, July 06, 2016</b>
<b>Time Sheet for Split BW14 Biweekly Payroll (June 25<sup>th</sup> - July 8<sup>th</sup>)</b>	<b>Friday, July 08, 2016</b>



## SHRED IT JULY 13<sup>th</sup>!!!\*

Shred Day will be held July 13th on both the Main Campus and Park Avenue Campus.

ONLY paper products from the university are allowed (staples and paper clips are ok).

NO BINDERS. Please remove all items from binders prior to arrival.

Secure on-site shredding guaranteed!

Times and locations for the Shred Event:

**Main Campus (between Administration Building and the University Center): 9am-12pm**

**Park Avenue Campus (South end of Building 45, across from the main FedExPark Baseball Park entrance): 1pm-3pm**

**This event is open to University personnel ONLY!**

Please e-mail at least two days prior to event if help is needed in moving any materials from buildings.

For questions about this event please contact

Amelia Mayahi at [askosta@memphis.edu](mailto:askosta@memphis.edu).

**\*Items designated for destruction must adhere to the [Records Retention and Disposition Schedule](#).**

**For questions about destroying records, see [UM 1365 Records Management Program](#), send an email to [vpbusfin@memphis.edu](mailto:vpbusfin@memphis.edu) or call 678-2121.**



# **Financial Controls and Accountability**

# **Financial Controls and Accountability**

**We are working to improve our current processes to meet enhanced financial controls and accountability standards**

- **Financial Responsibility Acknowledgement**
- **IT Security Awareness Training**
- **Terminating Organization Codes**
- **Annual User Reauthorization**

# Financial Responsibility Acknowledgment

The President sent an email to all Finance users with signature authority this spring with a link to the Financial Responsibility Acknowledgment

- Financial Managers
- Designees
- Approvers
- Portal announcement needs to be read and acknowledged
  - Mymemphis

# Annual IT Security Awareness Training

All Banner FI and HR users are required to take the IT Security Awareness Training each year

- Year rolls on July 1
- 15 to 20 VERY short videos with a quiz after each one
- Less than ONE hour
- Certificate of Completion once all videos have been completed

# Terminating Organization Codes

## Process Improvement team

- No org codes were deactivated until this spring
- Identified about 175 org that had no financial activity in the last 2 fiscal years
- Marked those as inactive in Banner
- Reactivate option is available
- Organization Code Request is being updated
  - Financial Manager signature
  - Option to reactivate org code

# Employment Status and Banner Access

Last year we implemented a new automated Banner removal process

- Contract end dates are used to calculate when Banner access will be remove
- Vital that correct end dates are entered on contracts, epafs, econtracts, etc.

# Coming Soon

- Reauthorization for financial managers
- Removal of campus resources on last day worked for users leaving employment
  - Access via [uuid@Memphis.edu](mailto:uuid@Memphis.edu)



# Internal Controls

## Uniform Circular Audit Findings and

### What is Internal Audit?

Focus on Finance – June 16, 2016

Office of Internal Audit and Consulting  
University of Memphis

Byron Morgan, Chief Audit Executive

[bmorgan3@memphis.edu](mailto:bmorgan3@memphis.edu)

678 -2125

# Internal Controls

## Why?

- In TN management is responsible for internal controls per the TN Financial Integrity Act.  
(Link: [TN Financial Integrity Act](#))
- Required by the new COSO Internal Controls framework (this is evaluated in external audits of the University's financial statements – for us the “state auditors” for others CPA firms)  
(Link: [COSO Framework](#))
- To ensure financial activity is accurate and stakeholder funds are expended as required by stakeholders.

# Why?

Sometimes we hear *“we are doing this because internal audit is saying we have to do this.”*

That is always a bad reason to be doing something. If you are doing something that seems inefficient or don't understand why --- contact the management area responsible for that control activity to discuss why you are doing this activity.

# Internal Controls

## **Who?**

Our stakeholders are students, parents, donors, taxpayers, federal agencies, and others who fund research.

Who is responsible at UOM for internal controls?

President, executive management, deans, directors, department heads, business officers, designees and anyone who is approving financial transactions, time sheets or webtime reports (Note: Internal Audit does not dictate or establish internal controls for an organization)

# **What, Where and How?**

At UOM internal controls are primarily found in our policies and procedures.

## **Examples:**

Cash Handling Guidelines

Pcard Guidelines

Procurement and Contract Services (UM1507)

Equipment Inventory (UM1772)

Charges to Sponsored Agreements (UM1719)

Conflict of Interest (UM1692)

Timekeeping and Leave Reporting (UM1262)

# How do you find policies and procedures at UOM?

Go to UOM main page and type “policies” into search block at right top corner of UOM home page. Can also use the search box for any policies and procedures you are trying to locate. The policies have “*Responsible Office*”, “*Responsible Official*” noted and sometimes a FAQ section. Contact that office or official for questions. If you see policies and procedures that potentially need revision contact the “*Responsible Office*” listed or the Policy Review Board (Office of Legal Counsel 678-2155)

Link: <http://umwa.memphis.edu/umpolicies/index.php>

# Internal Controls Self Assessment Checklist

An internal control self assessment checklist is on the Internal Audit website.

<http://www.memphis.edu/audit/>

Go to “Other Documents and Links”

# Uniform Guidance Past Audit Findings

Formerly known as the “Single Audit” or “A-133 Audit”. Annual audit of federal funds by external auditors. Typically performed by a CPA firm but in TN this is done on a state-wide basis by the state auditors.

If you have federal grants in your key areas to focus attention are:

- Effort Reporting & Certification (UOM policy UM1676) (payroll charges to grants)
- Subrecipient Monitoring (UOM policy UM1721 - “Subagreements Issued to a Third Party)



# What is Internal Audit?

Do you think that Internal Audit.....

- Conducts the University's annual financial audit?
- Is part of Business and Finance?
- Only counts supplies and looks for equipment ?
- Develops and issues policies and internal controls Issues “rules” for departments to follow?  
Does criminal investigations?

**All are false and common misconceptions about Internal Audit.**

Internal Audit is independent and reports to the Board Audit Committee and does do.....

- ✓ Financial and operational audits as part of an annual risk-based audit plan approved by the Board Audit Committee. External auditors perform the University’s annual financial audit.
- ✓ Other audits and consulting projects requested by the Board, President or University Executive Management.
- ✓ Provide advice on policies and internal controls and serve in an advisory capacity on committees.
- ✓ Investigations of fraud, waste and abuse from the hotline...but not investigations involving criminal activity, HR issues and discrimination issues. We refer those to the applicable area and Internal Audit may assist in some cases.

# **To Report Suspected Fraud, Waste or Abuse**

Options for reporting at the University include:

1. Telling your supervisor.
2. Notifying a University Official

**NOTE: Go to a Supervisor or University Official first – If possible.**

3. Contacting Internal Audit at 678-2125 or [UoM\\_audit@memphis.edu](mailto:UoM_audit@memphis.edu) or use the online form on the Internal Audit website.

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

# **To Report Suspected Fraud, Waste or Abuse** (cont)

University of Memphis Internal Audit Website URL for Fraud

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

## **When Reporting Suspected Fraud:**

- Reporting must have reasonable grounds to suspect fraud, waste or abuse is occurring. (**no false accusations**).
- Protection from Retaliation - State law (T.C.A. § 8-50-116)
- Confidentiality Protected – State Law (T.C.A. § 49-14-103)

**The Report May be Made Anonymously**

# QUESTIONS

Office of Internal Audit and Consulting  
University of Memphis  
Byron Morgan, Chief Audit Executive

[bmorgan3@memphis.edu](mailto:bmorgan3@memphis.edu)

678 -2125

Website

<http://www.memphis.edu/audit/>

# eVisions Research Suite

## Cayuse SP

Cayuse SP Sponsored Project Life Cycle Management System acts as a central repository to provide users with easy management and visibility in each phase of the project life cycle.

- Will replace the paper Proposal Summary Form to allow for electronic routing.

- Will provide transparency so that investigators, business officers and other administrative support staff, and Sponsored Project staff will know the status of a proposal at all times.

- Will serve as the system of record for **proposals** related to sponsored projects. Banner will remain the system of record for **awards**.

# eVisions Research Suite

## Cayuse 424

Cayuse 424 is a System-to-System solution supporting over 98% of the opportunities in Grants.gov.

- Will automatically update application packages and validate proposals prior to submission.

- Will automatically populate forms to eliminate time-consuming data-entry.

- Will submit directly to Grants.gov.

# eVisions Research Suite

## Cayuse IRB

Cayuse IRB provides users with access to the entire IRB review and submission process, including initial submissions, modifications, reportable events, and continuing reviews, all in one place.

Will streamline and automate the submission and review process.

Will serve as an online repository for approvals and other documentation.

## Proposal Dashboard

[Start New Proposal](#)

[My Proposals](#)

Proposals In My Unit >>

[Advance Account Inbox](#)

## Award Dashboard

[My Awards](#)

[Awards In My Unit](#)

## Certifications/Approvals

[PI Certification Inbox](#)

[Unit Approval Inbox](#)

## Office of Sponsored Programs










The University of Memphis  
315 Administration  
Memphis, TN 38152-3370  
Phone: 901-678-2533

Email:  
[researchsupportservices@memphis.edu](mailto:researchsupportservices@memphis.edu)

## >> Proposals In My Unit

Below is a list of proposals for units where you have been assigned Proposal Data Access.

See [Research Contacts](#) for a complete listing of roles in your unit.

Submitted	Prop No.	PI	Project Name	Sponsor	Unit	Status		
06/17/2016	<a href="#">16-0006</a>	Phan	Test-Change PIs after routing	National Science Foundation (NSF)	Computer Science	Submitted to Sponsor	<a href="#">Copy</a>	
06/02/2016	<a href="#">16-0001</a>	Kumar	Socioeconomic Status, Stress and Smoking Cessation	William Marsh Rice University	Computer Science	OSP Under Review	<a href="#">Copy</a>	
06/02/2016	<a href="#">16-0002</a>	Kumar	Biomedical Data Translator	University of California, San Diego	Computer Science	OSP Under Review	<a href="#">Copy</a>	
	<a href="#">16-0003</a>	Jiang	Combined genetics and epigenetics	National Institutes of Health (NIH)	Biostats	Draft	<a href="#">Copy</a>	
	<a href="#">00-0003</a>	Cramer	Seismic Svcs for Nuclear Site Apps	USGS	CERI	Funded	<a href="#">Copy</a>	
	<a href="#">00-0004</a>	Mittleman	Cerebellar Modulation/Front Cortex	National Institutes of Health (NIH)	Psychology	Funded	<a href="#">Copy</a>	
	<a href="#">00-0006</a>	Langston	CERI Annual Support/USGS Personnel	USGS	CERI	Funded	<a href="#">Copy</a>	
	<a href="#">00-0007</a>	Withers	Operation/Mid-Amer Seismic Network	USGS	CERI	Funded	<a href="#">Copy</a>	
	<a href="#">00-0009</a>	Brand	The Kamak Hypostyle Hall Project	Natl Endowment for History the Humanities		Funded	<a href="#">Copy</a>	



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

## >> Awards In My Unit

Awards

Active Projects

Inactive Projects

Below is a list of obligated awards in units to which you have been granted Award Data Access.

Award No.	Title	Lead PI	Sponsor	Award Amount	Award Notice Date	Project Start Date	Project End Date	Status
<a href="#">A00-0024-001</a>	Generalized Intelligent Framework for Tutors (GIFT) in Learning in Intelligent Tutoring Environments (LITE) Workshops and Prototype	Xiangen Hu	United States Army Research Laboratory (ARL)	\$218,610.00	3/10/16	5/16/12	2/21/17	Active (Legacy)
<a href="#">A00-0024-002</a>	Generalized Intelligent Framework for Tutors (GIFT) in Learning in Intelligent Tutoring Environments (LITE) Workshops and Prototype	Xiangen Hu	United States Army Research Laboratory (ARL)	\$31,000.00	3/10/16	5/16/12	2/21/17	Active (Legacy)
<a href="#">A00-0024-003</a>	Generalized Intelligent Framework for Tutors (GIFT) in Learning in Intelligent Tutoring Environments (LITE) Workshops and Prototype	Xiangen Hu	United States Army Research Laboratory (ARL)	\$80,000.00	3/10/16	5/16/12	2/21/17	Active (Legacy)
<a href="#">A00-0024-004</a>	Generalized Intelligent Framework for Tutors (GIFT) in Learning in Intelligent Tutoring	Xiangen Hu	United States Army Research Laboratory	\$80,280.00	3/10/16	5/16/12	2/21/17	Active (Legacy)

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### >> Unit Approval Inbox

To Be Authorized

Previously Reviewed

Below is a list of previously authorized proposals.

See [Research Contacts](#) for a complete listing of roles in your unit.

Prop No.	PI	Unit	Project Name	Sponsor	Deadline	Decision	Status	
<a href="#">00-0025</a>	Sutter	College of Arts and Sciences	Acquisition of Illumina MiSequencer	University of Memphis Research Foundation (UMRF)		Authorized	Funded	
<a href="#">00-0165</a>	Nenon	College of Arts and Sciences	Governor's School for Intl Studies	TN Department of Education		Authorized	Funded	
<a href="#">16-0001</a>	Kumar	Computer Science	Socioeconomic Status, Stress and Smoking Cessation	William Marsh Rice University	06/05/2016	Authorized	OSP Under Review	
<a href="#">16-0002</a>	Kumar	Computer Science	Biomedical Data Translator	University of California, San Diego	06/01/2016	Authorized	OSP Under Review	
<a href="#">16-0006</a>	Phan	Computer Science	Test-Change PIs after routing	National Science Foundation (NSF)	08/10/2016	Authorized	Submitted to Sponsor	
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Email:  
[researchsupportservices@memphis.edu](mailto:researchsupportservices@memphis.edu)

## >> Proposal Routing Status

Proposal No: [16-0001](#) 

Submission Deadline: 6/05/2016

Project No:

Proposal Specialist: [Ventez Jones](#)

Lead Investigator: [Santosh Kumar](#)

Contract Specialist:

Sponsor: William Marsh Rice University

Account Manager: [Lan Wang](#) , [Kendra Tillis](#)

Project Title: Socioeconomic Status, Stress and Smoking Cessation

[View IPF](#)

Approvals

Compliance

Status History

Advance Account

Awards



The above proposal has been successfully submitted. All lead/principal investigators and approving units listed below have been notified and should electronically authorize (in routing order for units) this proposal before it is received by the Office of Sponsored Programs.

### Investigator(s) who must certify this Proposal

Investigator	Role	Decision
<a href="#">Santosh Kumar</a>	Lead Principal Investigator	Certified on 06/02/2016 11:36 AM

### Unit(s) that must authorize this proposal

Order	Unit	Authorizing Person(s)	Authorizing Decision
1	Computer Science	<a href="#">Lan Wang</a> , <a href="#">Kendra Tillis</a>	Authorized By Lan Wang on 6/03/2016 02:00 PM
2	College of Arts and Sciences	<a href="#">Thomas Nenon</a> , <a href="#">Latica Jones</a>	Authorized By Latica Jones on 6/03/2016 02:55 PM
3	Office of Sponsored Programs	Admin Office	

### Status History

Status	Person	Date
Changed to: Submitted for Routing	Changed by: <a href="#">Mary Earheart Brown</a>	6/02/2016 11:18 AM
Changed to: Draft	Changed by: <a href="#">Cheryl Hayes</a>	5/23/2016 12:48 PM

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Email:  
[researchsupportservices@memphis.edu](mailto:researchsupportservices@memphis.edu)

### >> Proposal Routing Status

Proposal No: [00-0014](#) 

Submission Deadline: 11/05/2011

Project No: [A00-0014](#)

Proposal Specialist:

Lead Investigator: [James Murphy](#)

Contract Specialist:

Sponsor: National Institutes of Health (NIH)

Account Manager: [Frank Andrasik](#)

Project Title: Improving Brief Alcohol Interventions with a Behavioral Economic Supplement

[View IPF](#)

[Approvals](#)

[Compliance](#)

[Status History](#)

[Advance Account](#)

[Awards](#)



[Add Advance Account Request to Proposal](#)

Advance Account - Google Chrome

https://memphis-t.cayuse424.com/sp/pfg\_submit.cfm?submissiontype=New&prop\_id=209&dept=Psych

### Advance Account

An Advance account provides the Principal Investigator (PI) or Project Director (PD) with an opportunity to initiate sponsored research projects and begin incurring associated expenses prior to institutional acceptance of an award. Advance accounts allow PI's/PD's and departments to record and track expenditures and eliminate the need to charge other unrelated accounts and perform cost transfers at a later time. If the award does not materialize, the department will be responsible for all costs incurred on the advance account. It is important that funds not be spent before the period in which the sponsor expects to honor costs.

**\* Description of Assurances of Funding (e.g., recent telephone conversation with funding agency; correspondence from agency):**

**\* Is this account associated with the American Recovery and Reinvestment Act of 2009 (ARRA)?**

☐ Yes ☐ No

**\* Type of Account:**

Select one ... ▼

### Contact Information

**\* Project Contact:**

**\* Contact Telephone:**

**\* Contact Email:**

# Cayuse Implementation Timeline

Date	Action Item
June and July 2016	Pilot Proposals with School of Public Health in Production Environment
July and August 2016	Pilot Proposals with College of Engineering and College of Arts and Sciences
August 2016	Begin face-to-face training for support personnel, faculty, administration
Fall 2016	Roll-out with other units
January 1, 2017	Campus-wide use of Cayuse (No more pieces of paper for routing)

# Contact information

Mary Earheart-Brown

Senior Associate Director of Research Development

678-4911

Leslie Ingram

Electronic Research Administrator

678-4247

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

# Campus Planning Update

## Railroad

<https://www.youtube.com/watch?v=pibCQBRwQ-o>

## Recreation

<https://www.youtube.com/watch?v=7gsNvQRltDc>

## Basketball

<http://nationswright.com/projects/higher-education/university-of-memphis-basketball-training-center-facility>

## Football

[https://www.youtube.com/watch?v=nF\\_0BScCfQ0](https://www.youtube.com/watch?v=nF_0BScCfQ0)





# The Impact of Department of Labor's Changes to the University of Memphis

HR Partners  
June 2016



## FLSA and DOL

- The Fair Labor Standards Act (FLSA) is a federal law that governs whether employees receive overtime pay
- The Department of Labor (DOL) is responsible for ensuring compliance with the FLSA
- In 2014, President Obama tasked the DOL with updating the FLSA regulations
- In July 2015, the proposed regulations outlined the changes. The primary change was raising the salary threshold that is used to determine who is eligible for overtime pay



## DOL Changes and How They Impact UofM

- There are two (2) “tests” that are required to determine if someone is exempt for overtime pay
- Test #1=Salary Test. The employee must earn at least \$455/week or \$23,660/year (last reviewed in 2004)



## DOL Changes and How They Impact UofM

- Test #2=Duties Test. The employee's primary duty must be administrative, executive, or professional (definitions are provided for employers to assess) as outlined on the position description
- Once HR determines the job meets both tests, the position is classified as EXEMPT (Monthly) and becomes ineligible for overtime pay



## DOL Changes and How They Impact UofM

- The changes in the DOL regulations have been approved; the exempt salary increased from \$455/week (\$23,660) to \$913/week (\$47,476)
- Approximately 400+ employees will be affected
- The regulations require an automatic updating of the salary level every three years starting in 2020 (estimated to be \$51,168)
- New regulations are to be implemented by December 1, 2016



## DOL Changes and How They Impact UofM (cont)

- Employees currently classified as EXEMPT (monthly) but earning less than \$47,476/yr will be converted to NON-EXEMPT (biweekly) and will be required to track hours and receive overtime
- Employees in teaching profession will remain exempt (regardless of salary) as long as their primary duty is teaching
- Special provision for academic administrative employees if paid at least equal to the entrance salary for teachers (faculty)



## Impact of Changes on UofM

- Review of all employees classified as EXEMPT but earning less than \$47,476
- Evaluate all position descriptions to ensure they pass the DOL Duties Test
- Make changes to the Payroll system (Banner) to convert current Exempt employees to Non-exempt



## Impact of Changes on UofM (cont)

- Determine if there are functions or policies that limit what duties non-exempt employees can perform (such as serve as a financial designee)
- Determine what changes will impact these positions (leave accruals, overtime compensation, benefits, etc) to advise affected employees once regulations are finalized
- Communicate all changes to department heads and hiring managers so they are aware of which employees will be impacted by the changes





## Critical Positions Impacted by Changes

- Admissions Counselors, Athletic Coaches, Development Officers (others with frequent travel)
- Residence Life Advisors (Room and Board is not factored in as part of compensation)
- Research Scientists/Research Faculty/Administrative Faculty (Since their primary function is NOT teaching, they must meet the new Salary Test)
- Post Docs
- Others (HR still reviewing)



QUESTIONS?

**Next Focus on Finance**  
**October 20<sup>th</sup> 2016**  
**1:30 - 3:00 PM**  
**UC Memphis Room 340**

Comments or suggestions?  
Email: [bffin@memphis.edu](mailto:bffin@memphis.edu)

Focus on Finance website:  
<http://memphis.edu/focusonfinance>



# THANK YOU!

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