



*PLEASE JOIN US!*

# FOCUS ON FINANCE

SUPPLIER DIVERSITY PROGRAM  
SECURITY AWARENESS TRAINING &  
MULTI-FACTOR AUTHENTICATION  
RECORDS MANAGEMENT  
AUDIT NOTES  
WHAT'S NEW? WHO KNEW? WHAT'S DUE?

THURSDAY, NOVEMBER 15, 2018  
UC SENATE CHAMBER (UC261) 1:30-3:00 P.M.



## FOCUS ON FINANCE





# Welcome to Focus on Finance!

**November 15, 2018**



# **Presentations & Speakers**

- **Supplier Diversity Program – Stuart B. Thomas & Constance Montague Butts**
- **Security Awareness Training and Multi-factor Authentication – Jon Weber**
- **Records Management – Ladonnal Curry**
- **Audit Notes – Vicki Deaton**
- **What's New? Who Knew? What's Due?**

# Supplier Diversity Program



**Stuart B. Thomas – Director**  
**Constance Montague Butts – Assistant Director**  
**Procurement and Contract Services**

# **Enhance UofM Diversity/Minority Spend**

- **Overview**
- **Commitment**
- **Goals**
- **Supplier Diversity Program**
- **Next Steps**

# **Classifications Diversity Business Enterprises**

- **Women-Owned, Small Business, Service Disable Veterans, Disabled**
- **Minority:**
  - **African-American**
  - **Asian-American**
  - **Hispanic/Latino-America**
  - **Native-American**
- **UofM spend should reflect all of these classifications.**
- **UofM spend should reflect the Memphis community.**



# New way of doing Business



- Our Role? **Stop & think Diversity.**
- < \$10k purchases, Informal bids <\$50k spend, 3 quotes from diverse/minority suppliers.
- Contracts & RFP include diversity language. Contractors must agree to use diversity suppliers sub-contractors.
- Contractors required to submit a quarterly reports of spend with diverse sub-contractors.
- How? Procurement is your resource.
  - Contact your assigned Specialist/Buyer to assist and review our list of diverse suppliers based on your purchase requests.
  - Diverse supplier list has been uploaded to UofM Portal for quick access

# Diversity Supplier List

The screenshot shows a web browser window with multiple tabs. The active tab is 'Finance - myUofM'. The address bar shows the URL 'https://myuofm.memphis.edu/web/home-community/finance'. The page layout includes a left sidebar with navigation links and a main content area with various sections.

**Left Sidebar:**

- Online information for HR including training, position lookup, eContracts, and more.  
[University Data Standards](#)
- Banner Admin Pages**
  - Admin Pages**
    - [Navigation Documentation \(PDF\)](#)
    - [Navigation Tutorial \(from vendor\)](#)
- Banner INB**
  - [Banner INB Users \(in new browser window\)](#)
  - Note:** This service will be discontinued on 12/31/2018. Please use the Admin Pages link above.
- Banner ePrint**
  - [Banner Development Repository](#)
  - [Banner Foundation Repository](#)
  - [Banner Finance Repository](#)
  - [Banner Student Repository](#)
  - [Banner Financial Aid Repository](#)
  - [Banner HR Repository](#)

**Main Content Area:**

- Finance**
- Tigerbuy**
  - Tigerbuy (Production)
  - More information related to Tigerbuy can be found on the [Tigerbuy Web site](#).
  - Tigerbuy (Test)
    - Vendor Performance Evaluation - For departments to leave feedback on vendors.
    - [Diversity Suppliers List](#) ← (highlighted with a blue arrow)
- Approval Alerts**
  - You have no documents pending approval
- Reqs and POs**
  - [Create a Purchase Order](#)
  - [Check Available Balance](#)
  - [Query/Edit/Create a Vendor](#)
- My Banner**
  - No personal menus defined



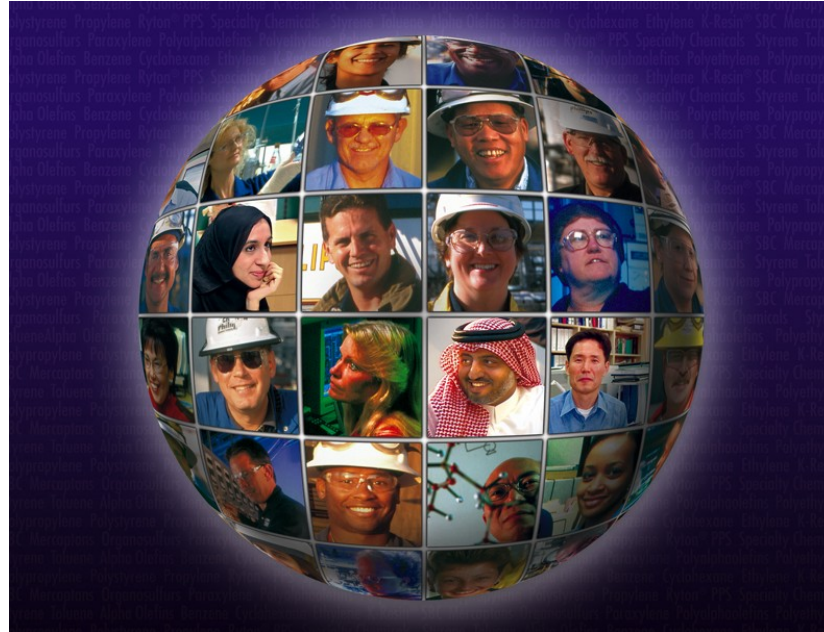
# Vendor Registration

- Suppliers register on line, or email them our 'Welcome' letter with a link directly to Procurement registration site.
- <http://www.memphis.edu/procurement/tigerbuy/vendor.php>
- Self-Register online mandatory documents: W-9 (US Vendors), W-8 BEN (Non-US Vendors)
- Documents emailed to Procurement, mandatory documents: W-9 (US Vendors), W-8 BEN (Non-US Vendors) and Vendor Registration Form.  
[procurement@memphis.edu](mailto:procurement@memphis.edu)

# Outreach

- **Diversity Advisory Council (DAC)** – combination of UofM members and external members (local agencies).
- **Diversity Sub-committee** – UofM Leadership ITS, Marketing, Athletics, Physical Plant, Student Affairs...continued rotating members
- **Mid South Business Council Consortium (MMBC)** as resource for supplier connections/match makers
- **Governor's Office of Diversity (GO-DBE)** for assistance and supplier certification
- **Local agencies:** MAA, City of Memphis, MLGW share plans/ideas
- **Host Vendor/Supplier Showcases** on all categories.

# Embrace Diversity Starting Today!



Contact Procurement and Contract Services at:

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

**901-678-2265**

# Staples Advantage

- Minority Business Enterprises (MBE)/Women Business Enterprises (WBE)
- Punchout vs. Non-Catalog Item
- Promotional Items
  - <http://www.staplespromotionalproducts.com/>
  - Select Design Your Promotional Item
  - Save your Project/Email Project
  - Obtain Marketing & Communications Approval
  - Email approved project to [Dan.Morrow@Staples.com](mailto:Dan.Morrow@Staples.com)
  - Will create a quote using contract pricing & email quote
  - Quote entered as a Non-Catalog Item (Attached a copy of Email)
- Staples Returns – Complete in Tigerbuy. (No résolution - [Dan.Morrow@Staples.com](mailto:Dan.Morrow@Staples.com))
- Contact - Office: 901-541-8346 Cell: 901-210-8638

# Questions



# Fall IT Security Initiatives



**Jon Weber, Director  
IT Security, Identity Management and  
Compliance**

# Ongoing IT Security Projects

ITS is working on 3 projects aligned with the University's enterprise risk management strategy that will significantly enhance our ability to mitigate security threats:

- Network Border Firewall
- Multi-factor authentication (Duo)
- Information Security Awareness Training



# Why Security is Important

The University possesses different types of data and is subject to statutory requirements:

- Personal information (students, parents, employees, alumni; tax records, health records)
- Research data (intellectual property, non-disclosure agreements, data use agreements)
- Statutory requirements (FERPA, GLBA, HIPAA, TN Data Breach Notification Law)
- Failure to mitigate security threats poses financial and reputational risk to the University.

# The Risks of Not Acting

- **Data Breach** – the estimated cost of remediating a single breached record is \$166. The cost to remediate all current faculty, staff and students would **exceed \$4 million** and insurance may not cover total cost. Costs for remediating all current and former f/s/s would be significantly higher.
- **FERPA violations** – a compromised password could lead to inappropriate access to or modification of a student record. Violations could lead to fines or loss in federal student aid funding from Department of Education (**> \$100 million**)
- **Students** – a compromised account could lead to modification of student grades in eCourseware or Banner, or inappropriate communication, such as changes to assignments, cancelling of classes or schedule modifications.
- **Research** – a compromised password could lead to theft or destruction of research or intellectual property, inappropriate modifications to grant or effort reporting and other potential violations that could effect receipt of current or future grant funding (**> \$30 million**).
- **Library Resources** – attackers routinely compromise accounts at Universities to access journals and other databases. Failure to control access properly could lead to loss of access to services or litigation.

# Network Border Firewall

- The University's network border currently allows most network traffic to automatically pass through our firewall and connect directly to devices throughout the infrastructure (e.g., desktops, IoT devices, printers, etc.)
- ITS plans to block, by default, all *external incoming* connections to the University network
  - Most individuals will not be impacted by this change because they use our network to initiate *internal outgoing connections*
  - VPN can still be used to connect to remote desktop
  - Exceptions will be allowed for legitimate traffic (e.g., University web sites, research and teaching activities, etc.)
  - Exceptions can be requested via the ITS Service Desk at extension 8888
  - Effective November 12, 2018

# Multi-factor Authentication (Duo)

- Phishing and social engineering campaigns continue to target University account holders
- The University will enable multi-factor authentication for all employees
  - Provides an additional layer of authentication
  - Does not include student workers/GAs who don't teach
  - Can use office phone, mobile phone, or mobile app for secondary authentication
  - Protects all single-sign on (SSO) resources
  - Assistance can be requested via the ITS Service Desk at extension 8888
  - Current employees opt-in period: Now through February 4, 2019
  - New employees effective: November 1, 2018
  - Effective all employees: February 4, 2019

# Information Security Awareness Training

- Educating account holders about security threats is key to protecting the University
- The University will provide information security awareness training for all employees
  - Does not include student workers/GAs who don't teach
  - Training period will open annually for 3 months
  - ITS will provide participation information to Human Resources
  - Human Resources will monitor annual completion and report to supervisors
- Timeline:
  - 2018 annual training period: November 1, 2018 – February 4, 2019

# Contact Information

<http://www.memphis.edu/its/security/>

<http://www.memphis.edu/its/about/its-suggestion-box.php>

<http://www.memphis.edu/its/about/contact-us.php>

Email: [jweber2@memphis.edu](mailto:jweber2@memphis.edu)

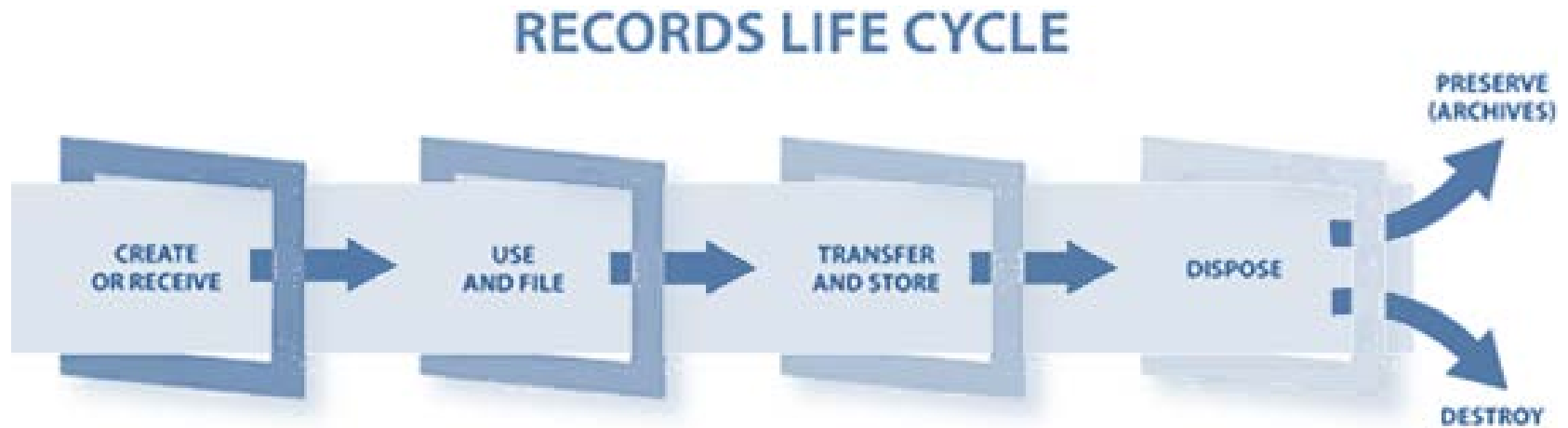
## Thank you!

# Questions





# University Records Management



**Ladonnal Curry, Assistant Director  
Business & Finance Operations  
Office of the Chief Financial Officer**

# University Records Management



# Annual Report

Annual State of Tennessee Records Holding Report  
Due



# Training – Let's Get Organized

Records Training – January 2019



# Retention & Disposition Schedule

- Record Retention Resources

<https://bf.memphis.edu/vp/recordretention.php>



## Record Retention and Disposition Schedule

The Records and Disposition Schedule lists common record series found in university departments and should be used when managing university records. It provides retention guidelines based on administrative, fiscal, historical, and legal value.

To use the Records and Disposition database, search for records by "Office of Record" or using simple search terms.

For assistance, please contact Ladonnal Curry at 901-678-2121 or [lcurry@memphis.edu](mailto:lcurry@memphis.edu).

Search by Office

Search   [\(Reset\)](#)

48 records found.

Record Name	Description	Office	RDA Number	Period
Accounting Journal Vouchers and Deposit Slips	Documents Relating to Accounts Receivables and Deposits with Supporting Documentation EXAMPLES: AG - Agency Only Approval Journals, AL - Allocation Process, AM - Assets Management, AP - Accounts Payable, AR - Accounts Receivable, BA - Balances from STARS, BI - Billing, CL - Closing Process, CM - Cash Management, CN - Contracts, DA - Division of Accounts Approval, EX - External Application, FM - Fleet Management, GM - Grants, IN - Inventory, IU - Inter-Unit Transaction, JV - Online Journal Voucher, KK - Commitment Control Journals, LA - Accrued Liabilities, LM - Enterprise Learning Management, MU - Mult-Unit Transactions, PM - Plant Management, PR - Project Closing, PY - Payroll, RA Accrued Revenue, RV - PS exp to STARS, TR - Transactions from STARS, TV - Travel (Expenses), YA - Year End Adjustments This RDA is not applicable for the Division of Accounts, Dept. of Finance and Administration.	Bursar/Accounting	SW01	5 years
Accounting Reports	Documents relating to monthly accounting reports. This series also includes Accounting reports from Edison or the STARS System	Accounting	SW02	5 years
Inactive Human Resources Employee Documentation	Documents pertaining to the proof of eligibility to work, included in this record series is human resource documentation kept in agency. Examples: Cards or sheets showing name, address, telephone number, and similar data for each office employee; performance evaluations, liens, garnishments, wage-related child support orders, employment verifications. Records covered under SW19 Active Employee Files shall not be destroyed under this RDA	Human Resources	SW03	5 years - destroy
Employee Medical Records	Documents relating to confidential employee medical records. Examples: Documentation of physicals and health status, Alcoholics Anonymous treatment statement, drug related treatment, injured in the line of duty and workers' compensation claims.	Human Resources	SW04	Files are cut off upon termination of employee, maintained for 30 years.

# Questions



# Audit Notes



**Vicki Deaton, Chief Audit Executive**



# **Nine-Month Faculty Sick Leave Reporting**

- **One of our areas of audit is 9 month faculty sick leave reporting policy compliance.**
- **We have investigated allegations of fraud, waste, and abuse related to the reporting of faculty sick leave.**
- **We have received inquiries about faculty sick leave reporting.**

# Internal Audit Objectives

- 1. To ensure compliance with HR5030 Nine-Month Faculty Sick Leave Reporting, and other University leave related policies and procedures.**
- 2. To review departmental processes for reporting and approving faculty sick leave usage.**
- 3. To investigate whether faculty are reporting leave completely and accurately.**
- 4. To ensure that employees are paid accurately for the time worked and leave benefit earned and taken.**

# **HR5022 Sick Leave Information**

- **When an employee terminates employment, accumulated sick leave shall not be paid in the form of a terminal or lump sum payment. Employees separating from the University will not be paid for accrued unused sick leave hours.**
- **If an employee is transferring to another Tennessee state agency or any Tennessee public institution of higher learning, sick leave hours will be transferred to that agency.**

# **HR5022 Sick Leave Information**

- **When an employee retires under the Tennessee Consolidated Retirement System (TCRS), a defined benefit plan, accumulated sick leave counts as creditable service. Every twenty days of accumulated sick leave is equal to one (1) month of creditable service in this system. However, unused sick leave is not included as creditable service for disability retirement.**
- **In the event of an employee's death, the estate or designated beneficiary of an employee shall be paid for accrued and unused sick leave.**

# HR5030 Policy Requirements

- ☐ As a benefit, regular nine-month academic personnel accrue 67.5 hours of sick leave for full-time employment for the full academic year, and no more than 22.5 hours of sick leave for full-time employment during summer sessions.
- ☐ Sick leave is intended to meet the legitimate health needs of employees who are absent from the work place due to illness.
- ☐ The charging of sick leave for time away from work by a faculty member due to legitimate health reasons is not a penalty; sick leave was instituted to cover just such absences.

# HR5030 Policy Requirements

- ❑ The Dean of each college or unit shall be responsible for ensuring that a consistent process is established for reporting and approving faculty sick leave usage in the University's electronic leave system. The process should take into account both planned and unplanned uses of sick leave with reasonable measures for preventing abuse or fraud.**

# HR5030 Policy Requirements

- ☐ Faculty are subject to the sick leave policy in a specific and direct way, even though their work assignments often require variable schedules both day and evening as well as assignments which include a wide variety of activities – classes, office hours, committee assignments, and research in laboratories and libraries.



# **Faculty Procedures**

- 1. It is the responsibility of every faculty member to report the use of sick leave through the University's electronic leave system to the appropriate authority, which is usually the department chair or designee but may also be the Dean or designee.**
- 2. Sick leave is to be recorded when a faculty member is absent from teaching, research, or service responsibilities due to illness.**

# Faculty Procedures

- 3. Each daylong absence of a faculty member from his or her duties during the regular workweek due to illness is to be charged to his or her accumulated sick leave at the rate of 7.5 hours per day.**
- 4. If a faculty member is absent from duty for part of a day due to illness, the faculty member should discuss the appropriate sick leave time to be charged and recorded with his or her department chair, dean, or immediate supervisor.**

# Faculty Procedures

- 5. Arrangements by the faculty member or the institution to cover the duties of the faculty member during an illness-related absence do not mitigate the fact that the faculty member was away from his or her work assignment; therefore, sick leave should be reported accordingly.**
- 6. Abuse or attempt to defraud with respect to the use of sick leave is grounds for disciplinary action up to and including termination of employment.**

# **Audit Procedures**

- 1. Inquire in the department about what they do to educate faculty about sick leave reporting and compliance with HR5030 Nine-Month Faculty Sick Leave Reporting.**
- 2. Inquire about the department's process for reporting and approving faculty sick leave usage.**
- 3. Review departmental faculty reported sick leave usage for reasonableness.**
- 4. Review departmental faculty available sick leave balances for reasonableness.**

# **Audit Observations**

- 1. Some 9 month faculty are not aware of HR5030 Nine-Month Faculty Sick Leave Reporting, which is fairly new (issued on 4/28/2016).**
- 2. Some 9 month faculty have never reported sick leave usage.**
- 3. Errors were discovered in several 9 month faculty available sick leave balances.**

# **Audit Action Plans Developed**

- ✓ **Departmental management should educate faculty on sick leave usage and reporting.**
- ✓ **Departmental management should establish a process for reporting and approving faculty sick leave usage in the University's electronic leave system.**
- ✓ **Departmental management should be aware of employee leave balances. The Banner Eprint Leave Liability Report can be used to monitor unusual additions or reductions to leave.**

# Questions



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





# What's New?

- Red Flag Policy – [UM Policy BF4013](#)
  - Everyone is tasked with the responsibility of protecting each individual's personally identifiable information (PII) and to be alert for suspicious activity whether online or on paper.
  - Report any suspicious activity to your supervisor or by email to red flag [responses@memphis.edu](mailto:responses@memphis.edu).

# What's New?

## – Credit Card Processing Fee

- Beginning January 2, 2019, all student account debit/credit payments thru Tiger Express will be assessed a 2.85% processing fee
- The Processing Fee will be assessed by TouchNet and will be reflected as a separate charge from their payment amount on their debit/credit card statement
- No Debit/Credit Card payments will be accepted face to face at the Bursar Cashier Office
- Payment Kiosks will installed in the Lobby area of the Bursar Cashier Office and at Lambuth Campus

# Who Knew?

<i>Workshops</i>	<i>Date</i>
Budget Basics Administration Bldg 178	Wednesday, January 30, 2019 9:30 - 11:00 AM
Accounting Basics Administration Bldg 178	Thursday, January 31, 2019 1:30 - 3:30 PM

# What's Due?

Activity	Deadline
Last Accounts Payable Check Run Prior to Thanksgiving Holiday ( <i>In order to ensure payments are processed. Documentation should be received at least one week prior to deadline, Nov. 13th</i> )	Wednesday, November 21, 2018
Time Sheet for BW24 Biweekly Payroll (Nov. 10th - Nov. 23rd)	Wednesday, November 21, 2018
Time Sheet for BW26 Biweekly Payroll (Dec. 8th - Dec. 21st)	Friday, December 14, 2018
Last Accounts Payable Check Run of Calendar Year ( <i>In order to ensure payments are processed. Documentation should be received at least one week prior to deadline, Dec. 12th.</i> )	Thursday, December 20, 2018

# BURSAR OFFICE IMPORTANT DATES

Activity	Deadline
Registration Holds placed on students account for outstanding debts for Spring 2019	Friday, November 9, 2018
Spring 2019 Registration Began	Monday, November 12, 2018
Graduate Assistant Contracts for Spring Due to Graduate School	Monday, November 26, 2018
Fall 2018 Final Installment Payment Plan (IPP) Due	Saturday, December 1, 2018
Employment Certification for Spring 2019 fee waivers and discounts forms must be completed, signed and dated December 1 or later.	Begins December 1, 2018
Dining Dollars Refund Request Period-Fall 2018	Monday, December 3-Friday, December 14, 2018
First day UofM, TBR, UT, other state colleges and universities and state employees (PC191) fee waiver participants may register for Spring classes	Monday, December 17, 2018

# BURSAR OFFICE IMPORTANT DATES

Activity	Deadline
Departmental Fee Waiver Deadline for Spring	Friday, January 4, 2019
Law School Spring Fee Payment Deadline	Tuesday, January 8, 2019
Law School Spring First Day of Class	Wednesday, January 9, 2019
UG/GR Spring Fee Payment Deadline	Friday, January 11, 2019
UG/GR Spring First Day of Class	Monday, January 14, 2019
UG/GR Spring Final Date for Late GA Departmental Waivers Accepted	Thursday, January 17, 2019
UG/GR Spring LATE PAYMENT FEES Added	Thursday, January 17, 2019

# **Next Focus on Finance**

**January 17, 2019**

**1:30 - 3:00 PM**

**Senate Chamber - UC 261**

- **Comments or suggestions?**

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

- **Focus on Finance website:**

<http://memphis.edu/focusonfinance>



