



Welcome to Focus on Finance!

September 20, 2018

Agenda

- **Auto Liability Accident Reporting – George Ninan**
- **Banner 9 Finance – Terrice Watson**
- **Audit Notes – Vicki Deaton**
- **Tips & Tricks – FOAPAL Stamp– Monica Goldsby**
- **What's New? Who Knew? What's Due?**

Auto Liability Accident Reporting



George Ninan, Controller
Accounting Office

Background and Scope

- Tennessee Department of Treasury, Division of Claims and Risk Management is rolling out this process to proactively collect information on vehicle accidents which could result in claims against the state.
- The new Reporting Requirements are to be followed in the event of accidents involving a state employee and a citizen and or such person's property, while driving a state vehicle, a rental or own vehicle. This reporting requirement is **not applicable when a citizen or such person's property is not involved**, i.e. a state employee drove into a tree.
- The new reporting requirements are the responsibility of every state employee involved in the accident and if unable, such employee's supervisor.
- The new reporting requirements were effective July 2018.

Auto Liability Accident Reporting



State of Tennessee Auto Liability Program
A Program of the Tennessee Treasury Department
Division of Claims and Risk Management

Auto Accident Reporting Instructions

IF YOU ARE INVOLVED IN AN AUTO ACCIDENT WHILE DRIVING A STATE VEHICLE, RENTAL, OR YOUR OWN VEHICLE WHILE IN THE COURSE OF YOUR EMPLOYMENT, FOLLOW THE INSTRUCTIONS BELOW:

1. Don't leave the scene. Be prepared to communicate ALL details of the incident to the State's adjuster.
2. Call emergency services (911 or police non-emergency number) as needed.
3. Take at least 4 photos of both vehicles, license plates, parking situation, insurance card for other party, and any notable unrelated damages. Include photo of the other party if applicable.
4. Call the State of TN Auto Accident Call Center immediately to report the incident, then call your supervisor and follow your department's applicable procedures.
5. Do not admit fault in the accident or promise coverage or reimbursement to anyone.

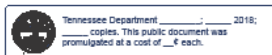
State of TN Auto Accident Call Center:
(855) 253-0629

Be prepared to provide the following information to the Call Center:

- Incident date, time, and location
- State driver's name, phone number, and email
- Any/all other drivers' names and phone numbers, plus emails if available
- Any other involved passengers' names and phone numbers, plus emails if available
- Vehicle information for all vehicles, including license plate number and/or VIN
- Your State Supervisor's name, phone number, or other contact information
- Confirm if any fatalities or non-fatal injuries occurred

IF YOU HIT AN UNOCCUPIED VEHICLE:

1. Fill out a Damage Notification Card and leave it on the unoccupied vehicle.
2. Call the State of TN Auto Accident Call Center immediately at (855) 253-0629 with date, time, and location of the incident, as well as any additional information you may have.
3. Take photos of both vehicles, as well as the license plate and VIN tag of the other vehicle (on the driver-side dash, near the windshield).



DAMAGE NOTIFICATION

The State of Tennessee is providing you this notification relative to damage that occurred to your vehicle while it was unoccupied. To obtain information about this incident, please contact the State of TN Auto Accident Call Center using the phone number below.

The Call Center works on behalf of the State to obtain information, investigate, and provide claim services. The owner of the damaged property/vehicle may call the State of TN Auto Accident Call Center toll-free for assistance at:

(855) 253-0629

Provide the following information when calling:

Date: _____ Time: _____

State Agency: _____

State of Tennessee Treasury Department
Division of Claims and Risk Management

Receipt of this notification is not an admission of liability or a promise that damages will be paid.



Tennessee Department _____; July 2018;
Authorization #309401; _____ copies. This public
document was promulgated at a cost of \$6 each.

Poster for Auto Liability Accident Reporting



If you are driving a state vehicle, rental, or your own vehicle on official State business, follow these instructions if an auto accident occurs:

- 1.** Don't leave the scene. Be prepared to communicate ALL details of the incident to the State's adjuster.
- 2.** Call emergency services (911 or police non-emergency number) as needed.
- 3.** Take at least 4 photos of both vehicles, license plates, parking situation, insurance card for other party, and any notable unrelated damages. Include photo of the other party if applicable.
- 4.** Call the State of TN Auto Accident Call Center immediately at (855) 253-0629 to report the incident, then call your supervisor and follow your department's applicable procedures.
- 5.** Do not admit fault in the accident or promise coverage or reimbursement to anyone.

Provide to the Call Center:

- Incident date, time, and location
- State driver's name, phone number, and email
- Any other driver's name, phone number, and email
- Vehicle info. for all vehicles, including license plate # and/or VIN
- Supervisor's name and contact information
- Confirm if any injuries/fatalities occurred

If you hit an unoccupied vehicle:

- 1.** Fill out a Damage Notification Card and leave it on the unoccupied vehicle.
- 2.** Call the State of TN Auto Accident Call Center immediately at (855) 253-0629 with date, time, and location of the incident, as well as any additional information you may have.
- 3.** Take photos of both vehicles, as well as the license plate and VIN tag of the other vehicle (on the driver-side dash, near the windshield).

State of TN Auto Accident Call Center: (855) 253-0629



When an accident happens...

- **Don't leave the scene.**
- **Call emergency services (911 or police non-emergency number 545-COPS - Memphis).**
- **State Employee calls Call Center.**
- **Call center emails adjuster from VeriClaim.**
- **VeriClaim adjuster calls State Employee and Citizen.**
- **VeriClaim makes a decision on negligence and assists citizen with repairs.**

Resources - Reporting Auto Accidents

- Department heads must ensure:
 - Both the [Accident Reporting Instructions](#) and a [Damage Notification Card](#) are placed and maintained in their department's University vehicles, and
 - Employees or students that may operate a vehicle while on official University business must receive [Auto Accident Reporting Training](#), available online through Learning Curve.
- More information is available at <http://www.memphis.edu/vehicles>. Any questions should be directed to the Finance Office at FinanceOffice@memphis.edu.

Questions



Banner 9 Finance



Terrice Watson, Assistant Controller
Accounting Office

Banner 9 Implementation

- **Banner 8 will no longer be supported by Ellucian; therefore, we must transition to Banner 9.**
- **All Forms in Banner 8 are now Pages in Banner 9.**
- **Banner 9 (Prod) Go Live – 09/24**
- **Finance Self-Service 9 (Prod) – 10/06**
- **Banner 8 (Prod) Turned Off – 12/31**

Banner 9 Testing Environment

- Banner 9 Test - <https://mytest.memphis.edu>

- Banner 9 Admin Pages (Test)

- Enter UUID & Password
- Select Finance Tab
- Select Admin Pages on the Left.



- Banner 9 Finance Self-Service 9 (Test) Available 8/31

System Navigation

The screenshot displays the system navigation interface. On the left, a dark sidebar contains a 'Call Out Menu' with options: Dashboard, Applications, Search, Recently Opened, and Help. Below this, a secondary menu shows 'Back to Main Menu', 'Applications', and a list of application items: 'Banner', 'My Banner', 'Banner Self-Service', and 'Employee Profile (Banner 9)'. A red arrow points from the 'Call Out Menu' header to the sidebar. Another red arrow points from the 'My Banner' item to its label. The main content area features a 'Welcome' header, a search bar with the placeholder 'Search...', and a background image of a university building. A red arrow points from the search bar to the text 'Type the form name'. At the bottom right, a red arrow points from the 'Welcome Screen Shortcuts' text to a set of icons. The footer contains legal disclaimers and the University of Memphis logo.

Call Out Menu

Dashboard

Applications

Search

Recently Opened

Help

Back to Main Menu

Applications

Banner

My Banner

Banner Self-Service

Employee Profile (Banner 9)

Welcome

Search...

Type the form name

My Banner (GUAPMNU)

Welcome Screen Shortcuts

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THE UNIVERSITY OF MEMPHIS

GUAPMNU Form

Banner Forms Double-Click to add form or select

Insert Selection

Remove Selection

Insert All

Remove All

Number of Pages – Number of Records

1 of 27

10 Per Page

Record 1 of 531

Object Selection

Object Description

FARINVS Invoice Selection

FARINVA Invoice Activity Report

FAIVNDH Vendor Detail History

FAICCHKH Check Payment History

FOIDDOCH Document History

FPIOPOV Purchase Orders by Vendor

FGIDOCR Document Retrieval Inquiry

FGIENCDD Detail Encumbrance Activity

FPIOPOF Open Purchase Orders by FOAPAL

FPAEOCD Encumbrance Open/Close

FAACHKS Check Cancellation

FOMFSEQ Document Code Maint

FOICACT Commodities and Accounting for Review Query

TEABETE

G

P

EPACHAP

My Banner (Personal Banner Menu – Max 25)

Select F10/Save Icon Updates will be reflected upon next login

Record 1 of 25

Shortcuts

Action	Banner 8	Banner 9
Form		Page
Direct Access		Go To
MAIN PAGE		
Main Page	General Menu (GUAGMNU)	Main Menu Page
Access Help		CTRL + M
Access Menu		CTRL + M
Display recently opened items		CTRL + Y
Search		CTRL + SHIFT + Y
Sign Out		CTRL + SHIFT + F
BASIC NAVIGATION		
Cancel Page, Close Current Page, Or Cancel Search/Query	CTRL + Q	CTRL + Q
Choose/Submit	ENTER	ENTER
Clear All In Section	SHIFT + F5	SHIFT + F5
Clear One Record	SHIFT + F4	SHIFT + F4
Clear Page or Start Over	SHIFT + F7	F5
Count Query	SHIFT + F2	SHIFT + F2
Delete Record	SHIFT + F6	SHIFT + F6
Down/Next Record	Down Arrow	Down Arrow
Duplicate Item	F3	F3
Duplicate Selected Record	F4	F4

Shortcuts

Edit	CTRL + E	CTRL + E
Execute Filter Query	F8	F8
Exit	CTRL + Q	CTRL + Q
Expand/collapse Drop-Down Field	Click Field	ALT + Down Arrow
Export	Extract Data with Key	SHIFT + F1
First Page	N/A	CTRL + Home
Insert/Create Record	F6	F6
Last Page	N/A	CTRL + End
List of Values	F9	F9
More Information	ALT + H	CTRL + SHIFT + U
Next Field or Item	Tab	Tab
Next Page Down	Page Down	Page Down
Next Section	CTRL + Page Down	ALT + Page Down

Shortcuts

Action	Banner 8	Banner 9
Online Help		CTRL + SHIFT + L
Open Menu Directly	F5	CTRL + M
Open Related Menu	N/A	ALT + SHIFT + R
Open Tools Menu	N/A	ALT + SHIFT + T
Page Tab 1, Page Tab 2, Page Tab 3, etc.	N/A	CTRL + SHIFT + 1 CTRL + SHIFT + 2 CTRL + SHIFT + 3
Previous Field or Item	SHIFT Tab	SHIFT Tab
Previous Page Up	Page Up	Page Up
Previous Section	CTRL + Page Up	ALT + Page Up
Print	Shift + F8	CTRL + P
Refresh or Rollback	SHIFT + F7	F5
Save	F10	F10
Search or Open Filter Query	F7	F7
Select on a Called Page	SHIFT + F3	ALT + S
Toggle Multi/Single Records Views	N/A	CTRL + G
Up/Previous Record	Up Arrow	Up Arrow

New Features

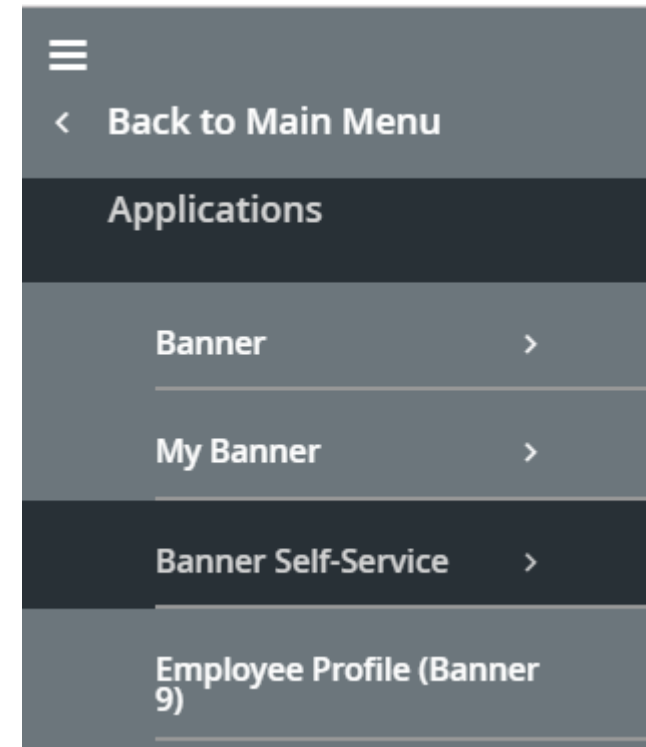
- **Key Word Hints (i.e. FAIV or Vendor)**

Vendor History Query
(FAIVHIS)

Vendor Invoice Query
(FAIVINV)

Vendor Detail History
(FAIVNDH)

- **Banner Call Out Menu
(Self-Service Access)**



Banner Pages

- 1. FGIBDSR: Executive Summary**
- 2. FGIBAVL: Budget Availability Status**
- 3. FGIBDST: Organization Budget Status**
- 4. FGITRND: Detail Transaction Activity**
- 5. FAIVNDH: Vendor Detail History**
- 6. FGITBSR: Trial Balance Summary**

FGIBDSR: Executive Summary

The screenshot shows a web application interface for the FGIBDSR Executive Summary. The browser address bar displays [https://bannertest.memphis.edu/applicationNavigator/seamless#Executive Summary \(FGIBDSR\)](https://bannertest.memphis.edu/applicationNavigator/seamless#Executive Summary (FGIBDSR)). The user is logged in as Ms Terrice Elaine Watson, with a 'Sign Out' link. The page title is 'Executive Summary FGIBDSR 9.3.4 (TBANR)'. The form contains several input fields and checkboxes:

- Chart: * U
- Index: 262200
- Include Revenue: ☒
- Accounts:
 - Organization: 511000 Accounting Office
 - Program: 4600 Fiscal Operations
 - Account Type:
 - Location:
- Fiscal Year: * 19
- Query Specific: ☐
- Account:
 - Commit Type: Both
 - Fund: 110001 Undesignated E and G
 - Account:
 - Activity:

A green 'Go' button is located to the right of the Fiscal Year field. A red arrow points to this button. At the bottom left of the form, there is a 'Next Section' icon (a right-pointing arrow) and a red arrow points to it. The bottom status bar shows 'EDIT', 'Record: 1/1', 'KEY_BLOCK_QUERY_AOCT [1]', and the user 'ellucian'.

- Enter Index or FOP and select the Go or Next Section Icon.

Executive Summary FGIBDSR 9.3.4 (TBANR)							ADD	RETRIEVE	RELATED	TOOLS
Chart: U Fiscal Year: 19 Index: 262200 Query Specific Account: <input type="checkbox"/> Include Revenue Accounts: <input checked="" type="checkbox"/> Commit Type: Both Organization: 511000 Accounting Office Fund: 110001 Undesignated E and G							Start Over			
Program: 4600 Fiscal Operations Account: Account Type: Activity: Location:										
EXECUTIVE SUMMARY							Insert	Delete	Copy	Filter
Account		Title	Adjusted Budget	YTD Activity	Commitments	Available Balance				
61110	L	Administrative	123,600.00	10,300.00	0.00	113,300.00				
61310	L	Support Clerical Salaries	170,970.00	9,362.44	0.00	161,607.56				
61374	L	Overtime Support Clerical	2,500.00	1,646.65	0.00	853.35				
61410	L	Student Assistants Hourly	728.00	0.00	0.00	728.00				
61610	L	Professional Support	518,413.00	43,201.06	0.00	475,211.94				
62000	L	Employee Benefits Budget Pool	347,000.00	0.00	0.00	347,000.00				
62990	L	Fringe Benefits Expense	0.00	24,654.66	0.00	-24,654.66				
73000	E	Travel Budget Pool	8,000.00	0.00	0.00	8,000.00				
73200	E	Individual Out of State Travel	0.00	413.83	0.00	-413.83				
74000	E	Operating Expense Budget Pool	31,302.00	0.00	0.00	31,302.00				
74110	E	Printing of Supplies by UOM	0.00	130.00	0.00	-130.00				
74130	E	Duplicating and Copying by UOM	0.00	72.55	0.00	-72.55				
74210	E	Telephone Local Charges	0.00	541.00	0.00	-541.00				
74220	E	Telephone Long Distance	0.00	16.00	0.00	-16.00				
74230	E	Postal Charges	0.00	571.18	0.00	-571.18				
74392	E	PP Direct Charge Maintenance Repair	0.00	3.78	0.00	-3.78				
74500	E	Supplies	281.20	0.00	1,844.93	-1,563.73				
74986	E	Other Services and Expenses	0.00	0.00	120.00	-120.00				
Net Total			-1,202,794.20	-90,913.15	1,964.93					
<div> <div>1 of 1</div> <div>20</div> <div>P</div> </div>							Record 1 of 18			

- Sort by each Column Header is available.
- Display up to 50 Lines on One page.
- Rollback – Select Start Over or F5 (Refresh).

Q Search

ACTIONS	
1	Identify the problem
2	Identify the cause
3	Identify the effect
4	Identify the solution
5	Identify the action
6	Identify the result
7	Identify the feedback
8	Identify the evaluation
9	Identify the conclusion
10	Identify the recommendation
11	Identify the action plan
12	Identify the implementation
13	Identify the monitoring
14	Identify the evaluation
15	Identify the conclusion
16	Identify the recommendation
17	Identify the action plan
18	Identify the implementation
19	Identify the monitoring
20	Identify the evaluation
21	Identify the conclusion
22	Identify the recommendation
23	Identify the action plan
24	Identify the implementation
25	Identify the monitoring
26	Identify the evaluation
27	Identify the conclusion
28	Identify the recommendation
29	Identify the action plan
30	Identify the implementation
31	Identify the monitoring
32	Identify the evaluation
33	Identify the conclusion
34	Identify the recommendation
35	Identify the action plan
36	Identify the implementation
37	Identify the monitoring
38	Identify the evaluation
39	Identify the conclusion
40	Identify the recommendation
41	Identify the action plan
42	Identify the implementation
43	Identify the monitoring
44	Identify the evaluation
45	Identify the conclusion
46	Identify the recommendation
47	Identify the action plan
48	Identify the implementation
49	Identify the monitoring
50	Identify the evaluation
51	Identify the conclusion
52	Identify the recommendation
53	Identify the action plan
54	Identify the implementation
55	Identify the monitoring
56	Identify the evaluation
57	Identify the conclusion
58	Identify the recommendation
59	Identify the action plan
60	Identify the implementation
61	Identify the monitoring
62	Identify the evaluation
63	Identify the conclusion
64	Identify the recommendation
65	Identify the action plan
66	Identify the implementation
67	Identify the monitoring
68	Identify the evaluation
69	Identify the conclusion
70	Identify the recommendation
71	Identify the action plan
72	Identify the implementation
73	Identify the monitoring
74	Identify the evaluation
75	Identify the conclusion
76	Identify the recommendation
77	Identify the action plan
78	Identify the implementation
79	Identify the monitoring
80	Identify the evaluation
81	Identify the conclusion
82	Identify the recommendation
83	Identify the action plan
84	Identify the implementation
85	Identify the monitoring
86	Identify the evaluation
87	Identify the conclusion
88	Identify the recommendation
89	Identify the action plan
90	Identify the implementation
91	Identify the monitoring
92	Identify the evaluation
93	Identify the conclusion
94	Identify the recommendation
95	Identify the action plan
96	Identify the implementation
97	Identify the monitoring
98	Identify the evaluation
99	Identify the conclusion
100	Identify the recommendation

Refresh	F5
Export	Shift+F1
Print	Ctrl+P
Clear Record	Shift+F4
Clear Data	Shift+F5

Item Properties
Display ID Image
Exit Quickflow
About Banner

OPTIONS

Format Form Preferences

BANNER DOCUMENT MANAGEMENT

BANNER DOCUMENT MANAGEMENT

Retrieve Documents	Alt+R
--------------------	-------

Count Matched Documents

[Add Documents](#)

Add Documents

PAGE LAYOUT

Expanded

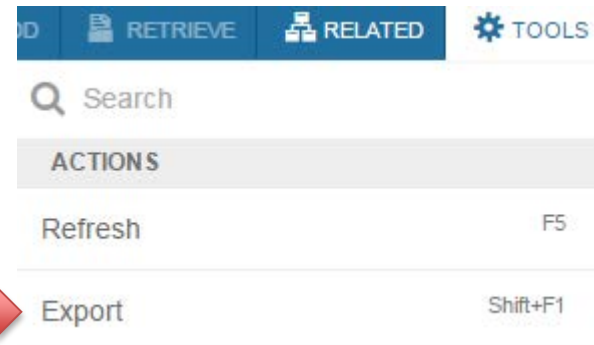
- **Select Export to export to Excel.**
- **Select Print to print information.**

New Features

- Sort by Column Headers

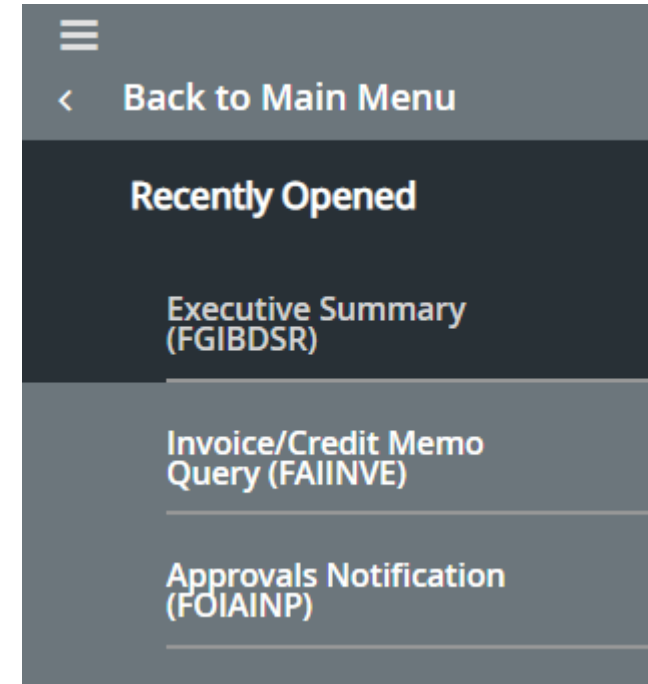
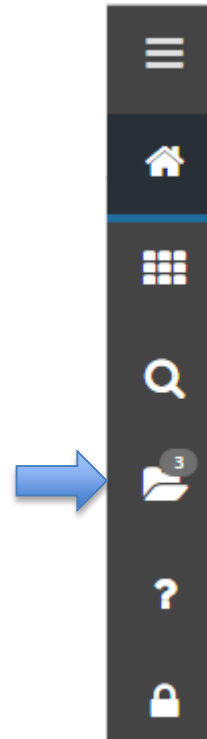
Account	Type	Title	Adjusted Budget	YTD Activity	Commitments	Available Balance
---------	------	-------	-----------------	--------------	-------------	-------------------

- Easy Export to Excel

















New Features

- **Recently Opened**
 - The recent tab includes Banner Admin Pages and Self-Service.
 - In order to toggle back to Admin Pages from Self-Service, select a recent Admin Pages form or Select Home.



What's Next

Banner Self Service

-  Banner Self-Service
 -  Personal Information
 -  Student
 -  Employee
 -  Finance
-  Budget Queries
-  Encumbrance Query
-  Purchase Order
-  Approve Documents
-  View Document
-  Budget Transfer
-  Multiple Line Budget Transfer
-  Delete Finance Template
-  Finance Self Service (Banner 9)



What's Next – My Finance

ellucian.



My Finance



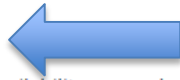
Hello Terrice,

Create, edit and approve transactions and view financial information for department / organization.



My Finance Query

Create, view and share budget availability, encumbrance and payroll queries.



My Requisitions

Create and view draft, pending and completed requisitions and supporting documentation.

What's Next – New Query

[My Finance](#) • [My Finance Query](#)

My Finance Query

Search Query



New Query

Favorites

Saved Queries

Shared Queries

Low-High



Create New Query

Select Query Type

Budget Status by Account

Values

Chart *

U University of Memphis

Index

Choose Index

Fund

110001 Undesignated E and G

Organization *

511000 Accounting Office

Account

Choose Account

Program

4600 Fiscal Operations

Create New Query

Activity

Choose Activity

Location

Choose Location

Fund Type

Choose Fund Type

Account Type

61 Salaries

Commitment Type

All

☐ Include Revenue Accounts

Fiscal Year *

2018

Fiscal Period *

14

What's Next – Query Results

< Accounting Office - 511000



Query Results



Account	Account Title	Health	Adjusted Budget	Year to Date	Commitments	Available Balance
61110	Administrative	⚠	\$123,600.00	\$10,300.00	\$116,127.50	(\$2,827.50)
61310	Support Clerical Salaries	⚠	\$170,970.00	\$9,362.44	\$175,590.16	(\$13,982.60)
61374	Overtime Support Clerical	⚠	\$2,500.00	\$1,646.65	\$0.00	\$853.35
61410	Student Assistants Hourly	✅	\$728.00	\$0.00	\$0.00	\$728.00
61610	Professional Support	⚠	\$518,413.00	\$43,201.06	\$483,402.46	(\$8,190.52)
62000	Employee Benefits Budget Pool	✅	\$347,000.00	\$0.00	\$0.00	\$347,000.00
62990	Fringe Benefits Expense	⚠	\$0.00	\$24,654.66	\$303,643.33	(\$328,297.99)
73000	Travel Budget Pool	✅	\$8,000.00	\$0.00	\$0.00	\$8,000.00
Report Total (of all records)			\$1,202,794.20	\$90,913.15	\$1,080,728.38	\$31,152.67

What's Next – My Finance Query

[My Finance](#) • [My Finance Query](#)

My Finance Query

[New Query](#)[Favorites](#)[Saved Queries](#)[Shared Queries](#)[Low-High](#)

Salaries - Accounting

[Budget](#)

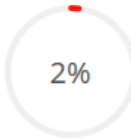
\$1,010 available

\$746,577 spent of \$747,588

09/19/2018



Travel - Accounting

[Budget](#)

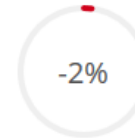
\$201 available

\$10,798 spent of \$11,000

09/19/2018



Operating Exp - Account...

[Budget](#)

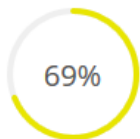
\$630 exceeded

\$37,708 spent of \$37,078

09/19/2018



Operating Encumbrances

[Encumbrance](#)

\$1,964 remaining

\$903 liquidated of \$2,868

09/19/2018



What's Next – View Documents

[My Finance](#) • [My Finance Query](#)

My Finance Query



New Query

Favorites

Saved Queries

Shared Queries

Low-High



View Document



Document Type

Requisition



Document Search

Choose Document Number



Document Number*

Please Enter Document Number

[VIEW DOCUMENT](#)

[APPROVALS & RELATED DOCUMENTS](#)

What's Next – View Document (POs)

View Document

Document Type

Requisition

Requisition

Purchase Order

Invoice

Journal Voucher

Encumbrance

Direct Cash Receipt

VIEW DOCUMENT

APPROVALS & RELATED
DOCUMENTS

View Document

Document Type

Purchase Order

Document Search

P0217252

Document Number *

P0217252

Submission

Please Enter Submission

VIEW DOCUMENT

APPROVALS & RELATED
DOCUMENTS

Related Documents

Invoice

[10712407](#)

Paid

Check Disbursement

10083883

Approval History

QUEUE (622T) (10)

Terrice Watson| 08/29/2017

QUEUE (TRAV) (10)

Terrice Watson| 08/29/2017

Approvals Required

Ok

Questions



Audit Notes



Vicki Deaton, Chief Audit Executive

Office of Internal Audit & Consulting

Internal Audit has direct reporting responsibility to the Audit Committee of the University of Memphis Board of Trustees. This reporting relationship enables Internal Audit staff to independently and objectively review matters involving any level of administration at the University.

What is Fraud, Waste or Abuse?

UOM Policy Definitions:

Fraud – An intentional deception that violates a law or the public trust for personal benefit or the benefit of others.

Waste – Behavior involving the extravagant careless, or needless use of government funds, property, and/or personnel.

Abuse – Behavior involving the use of government funds or property that a prudent person would not consider reasonable and necessary business practice given the facts and circumstances.

Reference: GE2014 Reporting Fraud, Waste, or Abuse of University Resources

State of Tennessee Laws

State law requires that the University provide a means by which students, employees, or others may report suspected or known fraud, waste or abuse. In addition, the University is committed to the responsible stewardship of our resources.

Protection Under State Law

As Internal Audit investigates allegations of fraud, waste or abuse, the reporting individual's confidentiality is protected under *Tennessee Code Annotated* Title 10, Chapter 7 unless subject to court action requiring disclosure. If there is a separate legal obligation to investigate the complaint (e.g., complaints of illegal harassment or discrimination), the University cannot guarantee anonymity or complete confidentiality as other outside agencies could be involved. State law prohibits discrimination or retaliation of any kind against employees who report, in good faith, allegations of fraud, waste or abuse.

Other Complaints

Anyone wishing to make a complaint of discrimination, harassment, sexual misconduct or retaliation contact the **Office of Institutional Equity.**

Email: oie@memphis.edu

Online reporting form at memphis.edu/oie

Phone: 901.678.2713

When Should Suspected Fraud, Waste or Abuse be Reported?

All UOM faculty, staff, students, and other interested citizens are strongly encouraged to report known or suspected acts of fraud, waste or abuse.

It is not necessary to have proof of wrongdoing at the time of reporting dishonest or suspicious activity; however, anyone reporting such activity must have reasonable grounds for doing so.

Reasonable Grounds

Before making allegations of fraud, waste or abuse, be reasonably certain of any claims. Such allegations could seriously and negatively impact the accused individual's life and adversely affect the working environment of the department.

Examples of What Activities Should Be Reported

- **Theft or misappropriation of funds, supplies, property, or other institutional resources**
- **Forgery or alteration of documents**
- **Unauthorized alteration or manipulation of computer files**
- **Falsification of reports to management or external agencies**
- **Pursuit of a benefit or advantage that could be a conflict of interest**
- **Authorization or receipt of compensation for hours not worked**

How is Suspected Fraud, Waste or Abuse Reported?

If you have information about activities you have reasonable ground to believe constitute fraud, waste or abuse, you may submit a report online to the University of Memphis Office of Internal Audit and Consulting through the Internal Audit page of the University's website. Reports may be made anonymously.

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

Other options for reporting fraud at the University include:

- Telling your supervisor
- Notifying a University official
- Contacting Internal Audit at 678-2125 or UoM_audit@memphis.edu
- Contacting the Tennessee Comptroller @ 1-800-232-5454 or <http://www.comptroller.tn.gov/hotline>

What Happens When Suspected Fraud, Waste or Abuse is Reported to UOM Internal Audit?

All reports of fraud, waste or abuse are reviewed carefully to determine if an Internal Audit investigation is appropriate. Internal Audit may:

- perform an investigation,
- consult with others, such as HR or the Office of Legal Counsel,
- refer reports to others, or
- refer any actual or alleged reports of criminal activity to the appropriate law enforcement agency for investigation. (Internal Audit does not perform investigations of criminal acts but may provide support or assistance if requested by the law enforcement agency.)

Internal Audit investigations generally have the objectives of determining the facts, maintaining confidentiality, determining responsibility, and recommending corrective actions.

Results of Internal Audit investigations are shared with the Audit Committee of the Board of Trustees and the Tennessee Comptroller of the Treasury.

Preventing Fraud, Waste, and Abuse

Management of an institution is responsible for establishing and implementing systems and procedures to prevent and detect fraud, waste and abuse.

The basic elements of a proper control system include:

- **Creating a culture of honesty and high ethics**
- **Evaluating risks and implementing processes, procedures and controls to prevent, deter and detect fraud, waste and abuse**
- **Developing an appropriate oversight process**

Preventing Fraud, Waste, and Abuse

- **Audits Required by State Law**

Examples:

President's Expense Audit

Follow Up of UOM Financial Audit Findings

- **Risk Based Audits**

Examples:

Departmental Audits

IT Security Audits

Grant Audits

Vendor Audits

Example Audit Objectives

- **Compliance with Cash Handling Guidelines for any cash or receipts**
- **Compliance with expenditure policies and procedures for procurement cards, travel expenses, meal expenses, memberships and subscriptions, other expenses, and close attention to approval of all expenses**
- **Fixed asset review with physical verification**
- **Compliance with sponsored agreement policies and procedures for charges to sponsored agreements, cost sharing, subrecipient monitoring, financial disclosure requirements, and effort certification**

- **Compliance with employee pay and leave policies and procedures for leave reporting, extra compensation, overtime charges, alternative work arrangements, outside employment, and wireless device allowance**
- **Other employee procedures for nepotism, conflict of interest, terminations, employee debt, annual financial responsibility certification, completion of FERPA training, and completion of IT Security Awareness training**
- **Physical considerations, such as facility access and security, lab safety, and facility fire protection**
- **IT controls and compliance with IT policies and procedures**

Contact Information

Office of Internal Audit & Consulting – 271 Administration Building
678-2125, www.memphis.edu/audit/

Vicki D. Deaton, CISA, CFE

Chief Audit Executive

901.678.2125 / vddeaton@memphis.edu

Jesse Pierce, CISA, CRISC

Senior Information Technology & Network Security Auditor

901.678.1630 / jjpierce@memphis.edu

Chelon Wilson, CFE

Senior Internal Auditor

901.678.1750 / cwlson14@memphis.edu

Emily Bridges, CPA

Senior Internal Auditor

901.678.4084 / ebridges@memphis.edu

Questions



Tips & Tricks

FOAPAL Stamp



**Monica Goldsby, Manager - General
Accounting**

Is this invoice
coded
correctly?

NO!

What's Wrong
With It?

Fountainhead A+E

MONTHLY INVOICE

BILL TO
Mr. John Gall
Taggart Transcontinental, Inc.
355 Madison Avenue
Suite 4500
New York, NY 10020

Project Description: Gall Residence

For Professional Services Rendered

INVOICE NUMBER	INVOICE DATE	PAYMENT DUE DATE	OUR PROJECT NO.	BALANCE DUE
GALT-009	Aug 31, 2013	Sep 30, 2013	2012-0001	\$11,812.50

	Fee Summary	Previously Invoiced	Current Invoice	Remaining
	%	Stipulated % phase Amount billed completed	% Value of completed	Amount Remaining
02 Schematic Design	15.43%	\$80,000.00 100.00%	\$80,000.00 0.00%	\$0.00
03 Design Development	23.44%	\$120,000.00 100.00%	\$120,000.00 0.00%	\$0.00
04 Construction Documents	29.30%	\$150,000.00 60.00%	\$90,000.00 66.00%	\$27,000.00
	68.16%	\$350,000.00	62.86%	\$270,000.00

Basic Services

Date	Employee	Code	Description	Hrs	Extension
06 Contract Administration					
8/1/2013	DF	Basic Services	Prepare Payout Request Log	3.00	\$375.00
8/1/2013	DF	Basic Services	Preconstruction Meeting with Owner and Contractor	3.00	\$375.00
8/1/2013	DF	Basic Services	Review Procedures for Submittal and Review of Payout Requests with Contractor	2.00	\$250.00
8/7/2013	HR	Basic Services	Project Directory - Construction/Rest	1.00	\$250.00
			06 Contract Administration Total:	9.00	\$1,250.00
			Basic Services Sub Total:	9.00	\$1,250.00

Additional Services

Date	Employee	Code	Description	Hrs	Extension
8/1/2013	DF	Additional Services	Additional Services - Design Total:	6.25	\$1,562.50
			Additional Services Sub Total:	6.25	\$1,562.50

Invoice Total: \$11,812.50
Previous Balance: \$26,588.00
Payments Received: \$43,950.00
Account Balance: \$11,812.50

I certify that the supplies, equipment, services, or materials on this invoice have been received and are equal in quantity and quality to those ordered.

Service Division 9/17/18
 Payment authorized 26200 11000 51100 Date 4/4986
 Index 4600 Fund Orig Asst
 Proj Actv Loan Pn

PAGE #1 of 1

If the invoice is associated the a Purchase Order, include the **PO#** only.

Ensure receipt is posted in Tigerbuy.

Fountainhead **A+E**

MONTHLY INVOICE

BILL TO
Mr. John Gall
Taggart Transcontinental, Inc.
355 Madison Avenue
Suite 4500
New York, NY 10020

Project Description: Gall Residence

INVOICE NUMBER	INVOICE DATE	PAYMENT DUE DATE	OUR PROJECT NO.	BALANCE DUE
GALL-009	Aug 31, 2013	Sep 30, 2013	2012-0001	\$11,812.50

For Professional Services Rendered

	Fee Summary		Previously Invoiced		Current Invoice		Remaining	
	%	Stipulated	% phase completed	Amount billed	% Complete	Value of completed	Amount Remaining	
02 Schematic Design	15.63%	\$50,000.00	100.00%	\$50,000.00	0.00%	\$0.00	\$0.00	
03 Design Development	23.44%	\$120,000.00	100.00%	\$120,000.00	0.00%	\$0.00	\$0.00	
04 Construction Documents	29.30%	\$150,000.00	60.00%	\$90,000.00	46.00%	\$12,000.00	\$38,000.00	
	68.36%	\$350,000.00	82.84%	\$290,000.00	2.57%	\$9,000.00	\$51,000.00	

Basic Services

Date	Employee	Code	Description	Hrs	Extension
06 Contract Administration					
8/1/2013	DF	Basic Services	Prepare Payroll Request Log	3.00	\$375.00
8/1/2013	DF	Basic Services	Preconstruction Meeting with Owner and Contractor	3.00	\$375.00
8/1/2013	DF	Basic Services	Review Procedures for Submittal and Review of Payroll Requests with Contractor	2.00	\$250.00
8/7/2013	HR	Basic Services	Project Directory - Construction/Rest	1.00	\$250.00
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Additional Services

Date	Employee	Code	Description	Hrs	Extension
02 Schematic Design					
				6.25	\$1,562.50
			02 Schematic Design Total:	6.25	\$1,562.50
			Additional Services Sub Total:	6.25	\$1,562.50

Payment authorized _____ **Date** _____

Invoice Total: \$11,812.50
Previous Balance: \$26,588.00
Payments Received: \$43,950.00
Account Balance: \$11,812.50

Please make payments to Fountainhead A+E, Inc. Late payments are subject to penalty fees.

Index _____ **Fund** _____ **Org** _____ **Acct** _____ **PO#** **20217175**

Prog _____ **Actv** _____ **Locn** _____ **PO** _____

PAGE 1 of 1

If the invoice is
a direct pay,
include an
authorized
signature, date
signature, date
and FOAPAL.

East Repair Inc.

455 Amsterdam Avenue
New York, NY 10023



BILL TO

John Smith
2 Court Square
Long Island City
New York, NY 11201

SHIP TO

John Smith
684 Lexington Avenue
6th Floor
New York, NY 10022

INVOICE

00234

INVOICE DATE

03/25/2014

P.O.#

17420014

DUE DATE

04/09/2014

Invoice Total

\$328.65

QTY	DESCRIPTION	UNIT PRICE	AMOUNT
1	Front and rear brake cables & Throttle cable	56.00	56.00
1	New set of pedal arms	182.00	182.00
3	Labor 3hrs	25.00	75.00
		Subtotal	313.00
		Sales Tax 5.0%	15.65

I certify that the supplies, equipment, services, or materials of
this invoice have been received and are equal in quantity and
quality to those ordered.

James E. Watson 9/17/18
Payment authorized 26200 110001 511000 74490
Index Fund Ordn Acct
1600 Amn 1000 bn

TERMS & CONDITIONS

Payment is due within 15 days

Citybank, N.A.

Account number: 2345678

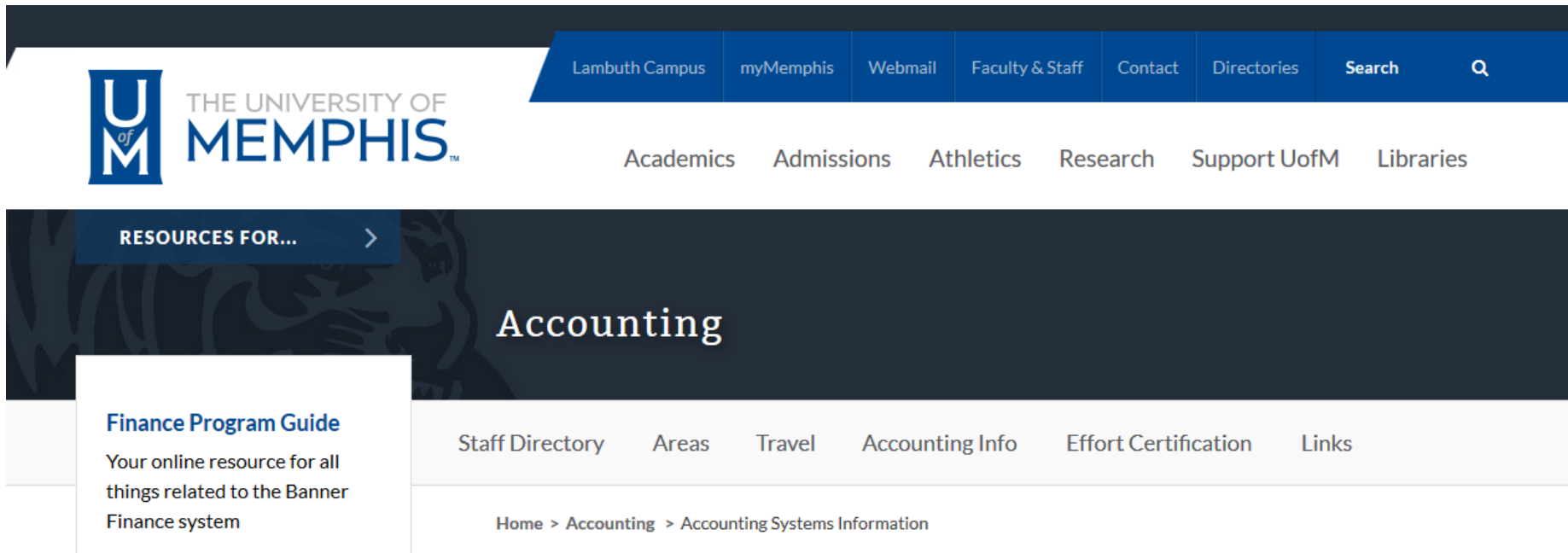
Routing: 23452

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



What's New?

Accounting Information Page



The screenshot shows the University of Memphis website's Accounting Information page. At the top is a dark blue navigation bar with links: Lambuth Campus, myMemphis, Webmail, Faculty & Staff, Contact, Directories, Search, and a magnifying glass icon. Below this is a white header with the University of Memphis logo on the left and a row of links: Academics, Admissions, Athletics, Research, Support UofM, and Libraries. A dark blue banner below the header features the text 'RESOURCES FOR...' with a right arrow and the word 'Accounting' in large white font. To the left of the banner is a white box titled 'Finance Program Guide' with the text 'Your online resource for all things related to the Banner Finance system'. Below the banner is a white navigation bar with links: Staff Directory, Areas, Travel, Accounting Info, Effort Certification, and Links. At the bottom of the page is a breadcrumb trail: Home > Accounting > Accounting Systems Information.

THE UNIVERSITY OF MEMPHIS

Lambuth Campus myMemphis Webmail Faculty & Staff Contact Directories Search

Academics Admissions Athletics Research Support UofM Libraries

RESOURCES FOR... >

Accounting

Finance Program Guide
Your online resource for all things related to the Banner Finance system

Staff Directory Areas Travel Accounting Info Effort Certification Links

Home > Accounting > Accounting Systems Information

<http://www.memphis.edu/accounting/accsys.php>

What's New?

Accounting Systems Information

[e~Print via the myMemphis Portal](#)

[Online Banner Finance Training](#)

[Authorized Signatures Search by Organization Code](#)

Accounting Aids

- [Banner Keyboard Shortcuts](#)
- [Banner 9 Navigation](#)
- [Banner Page – FAIVNDH – Vendor Detail History](#)
- [Banner Page – FGIBAVL – Budget Availability Status](#)
- [Banner Page - FGIBDST – Org Budget Status](#)
- [Fixed Asset Account Codes](#)

Who Knew?

<i>Workshops</i>	<i>Date</i>
Banner 9 Finance Administration Bldg 178	Tuesday, September 25, 2018 11:00 AM - 12:00 PM
Banner 9 Finance Administration Bldg 178	Thursday, September 27, 2018 3:00 - 4:00 PM
Budget Basics TBD	Tuesday, November 06, 2018 9:30 - 11:00 AM
Accounting Basics TBD	Wednesday, November 07, 2018 1:30 - 3:30 PM

What's Due – October Budget

- **Revenue Projections ~ Due Friday, September 28, 2018**
 - Email with instructions will be sent out Friday, September 21, 2018
 - Financial Planning Office will be available for individual meetings Tuesday, Sep 25th and Wednesday, Sep 26th budget@Memphis.edu
- **Expenditure Projections ~ Due Tuesday, October 2, 2018**
 - Email with instructions will be sent out Friday, September 21, 2018
 - Departments can process OnLine Budget Documents till Friday, October 5, 2018
- **Position Budget Revisions ~ Due Tuesday, September 25, 2018**
 - Current & Base Budget Revisions to be included in Fall Budget
- **Capital/R&R/Facility Projects ~Due Friday, September 28, 2018**

What's Due?

<i>Activity</i>	<i>Due Dates</i>
E-Print Financial Reports (June - September 2018)	Thursday, October 18, 2018
October Over Expenditure Reports	Thursday, November 15, 2018
Summer Comp. Effort Report - If required , submit Salary Redistribution Form to Grants Accounting	Wednesday, October 17, 2018
Summer Comp. Effort Report	Wednesday, October 31, 2018

Next Focus on Finance

October 18, 2018

1:30 - 3:00 PM

Senate Chamber - UC 261

- **Comments or suggestions?**
Email: bffin@memphis.edu
- **Focus on Finance website:**
<http://memphis.edu/focusonfinance>