Business Update

April 25, 2018
Today’s Agenda

Financial Services
● Controller’s Office - PATH project, policy updates, misc. and year-end reminders, and leases

Human Resources
● Staff Employment year-end reminders
● Performance Management - EHRA performance appraisals
● Learning & Organizational Development - New onboarding process
Today’s Agenda

Information Technology Services
● Client Engagement updates

Division of Institutional Integrity
● Internal Audit - 2018/2019 Plan
New Faces

Business Affairs

- Greg Verret, Director of Treasury Services
  Learn more about Greg…
- Ken Field, Director of Auxiliary Services
- Bart Bruchok, Director of Capital Projects
  Starts May 14, 2018
New Faces

Research and Economic Development

● Valerie Crickard, Executive Director of Grants & Contracts
## Upcoming Retirements

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Position details</th>
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<tbody>
<tr>
<td>June 1</td>
<td>Jim Hoppa, Senior Associate Vice Chancellor for Student Affairs</td>
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<td>August 1</td>
<td>Chris Knauer, University Registrar</td>
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<td></td>
<td>Hank James, AVC for Risk Management, Safety and Security</td>
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<td>Phil Jones, AVC for Facilities</td>
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<td>Sherrie High, Budget Office Director</td>
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<td>early 2019</td>
<td>Keith Wassum, Associate Vice Chancellor for Business Services</td>
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<td>Ron Sanders, Associate Controller for Accounting &amp; Disbursements</td>
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A PATHway to better Business Process Approvals

Team: Lisa Dooley, Sherrie High, Lori McMahon, Heather McLendon, Laura Williams
PATH Objectives/Benefits

Clarity of roles and responsibilities tied to positions

PATHS for

- Approval workflows and communications
- Delegation of authority and proficiency management
- Process Integrity

Vision: Supports the functional maturity initiative across the University

- From **Reactive** → Proactive / Managed / Optimized
# Organization Head

- Chancellor, VC, AVC, Assoc. Provost, Dean, Director, Chair or similar position
- Has fiduciary responsibility, stewardship, and oversight
- Considered to be the financial manager of the organization

## Divisional Business Manager
- Carries out financial management responsibilities on behalf of the divisional leader (e.g., Vice Chancellor)
- Reports directly to the Chancellor or a VC

## Business Officer
- Monitors and manages funds within a college or administrative unit
- Typically reports directly to a VC, AVC, Assoc. Provost, Dean, Director or Chair

## Fund Administrator
- Administers daily business operations within a sub-department(s) or for specific fund(s)
- Works directly with Business Officers

## Financial Administrative Support Staff
- Assists department head, business officer, or fund administrator with office management responsibilities

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**Org Level 2**

**Org Level 3**

**Org Level 4/5**
Why should we care?

Student Success by...

Increasing the efficiency of our business staff, and

Restoring the role focus and time of leaders with fiduciary responsibility.
Future PATH

Start

Preparer / Initiator

Dept. Approvals
(up to 3 approvers)

Delegates

Workflow complete

Based on Banner directory
Forms by the Numbers

- Financial Transaction Requests (FTRs) = 28,400
- Expense Reimbursement Requests = 14,200
- Travel Documents = 16,200
- Finance forms processed in Imaging = 136,000

*Based on FY17 report of forms submitted*
Why should we care?

Student Success by...

- Increasing the efficiency of our business staff, and
- Restoring the role focus and time of leaders with fiduciary responsibility.

Vision: Supports functional maturity across the University
Controller’s Office Reimbursement Reminder

Missing Receipt Requirements

> $25

- For reimbursable expenses
- > $25, complete a Missing Original Receipt Affidavit and attach it to the Travel Reimbursement (TR)

< $25

- If < $25, indicate on the TR what expense was incurred and that the receipt was lost
  - If the expense was paid with a p-card, add a comment in Works as to why you don’t have a receipt
Controller’s Office Year-end Reminders

2018 Fiscal Year-end Disbursements Cut-off Calendar is posted

Biennial Financial Services Survey
- Closes May 7
- Collect input on the effectiveness and efficiency of the University’s Financial Services operations.
- Your feedback is used to inform process improvements so that we can provide better service to the campus community.
Controller’s Office Year-end Reminders

Mobile Communication Device (MCD) Allowance Renewals for FY19

- Due by May 31, 2018
- Access the related policy, procedures, eform, and FAQs on the MCD Allowances webpage
Leases

Cyndi Autenrieth
Reporting & Fixed Assets
Why are we talking about Leases?

The Governmental Accounting Standards Board (GASB), which establishes financial standards for US state and local governments, has published a new GASB statement regarding Leases.

GASB’s new accounting standard, GASB 87, will require us to gather information about leases.
Definition of a Lease

A lease is defined as a contract that conveys control of the right to use another entity’s nonfinancial asset (the underlying asset) as specified in the contract for a period of time in an exchange or exchange-like transaction.

Although not explicitly identified as lease, a contract or rentals can also be a lease.
Department Contracts vs. Statewide Contracts

If a department enters into a lease through purchasing, there would be paperwork.

Lease entered into with a Statewide contract would not have paperwork.
What leases do we have on campus?

- Trying to determine categories of leases we have on campus
- If you know of any leases in your department, please submit a list to cautenri@uncc.edu
- Even if not sure if something is a lease, let me know
- In the future, we will request a more formal list
Discussion

1. Can you think of any leases your department/college has?

2. Suggestions to gather information?
Contact Information

Cyndi Autenrieth
Reporting & Fixed Assets
cautenri@uncc.edu
Ext. 7-5781
Human Resources Updates
Staff Employment

Tracy Worthey
Ext. 7-0670
Staff Employment Year-end Reminders

Electronic Personnel Action Form (EPAF) Processing

- Submit EPAFs to hire Temporary Staff, after approval of hiring proposal and prior to their start date for approval.
- Check Banner Self Service for the status of your EPAF, especially for those Returned for Correction.
- EPAFs are reviewed in accordance to payroll cycle, not in order in which they were received.

Resource

Temporary Staff Hiring and EPAF Manuals
Staff Employment Year-end Reminders

Students and Summer Hires

● Students can work up to 40 hours a week during the summer on a student work assignment, as long as they are enrolled for the fall semester and not taking classes during the summer.

● You only need to convert a student to a non-student work assignment if they are not enrolled for summer or fall courses.

● You do need not to post their job, when converting the position. You are changing their employee status.

Resource: Student Employment Hiring
EHRA Appraisals 2017-2018

IMPORTANT NEWS - PERFORMANCE
<table>
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<th><strong>Things to Note</strong></th>
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<tr>
<td><strong>Performance Period (fiscal year)</strong></td>
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<tr>
<td><strong>Due Date</strong></td>
</tr>
<tr>
<td><strong>Appraisal Eligible Employees</strong></td>
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| **Standard form** | • Institutional Goals  
• Individual Goals & Objectives  
• Overall Comments  
• 7 point rating scale |
Resources

- **STAKES** website (Search STAKES in uncc.edu web browser)
  - EHRA Appraisal Document
  - EHRA Appraisal Document - Add'l Goals Attachment
  - EHRA Performance Appraisal Policy
  - More to come

- **May 1** - Communication from Human Resources about process

- **Questions?** Consult with Paulette Russell at ext. 7-0660
New Employee Onboarding

UNC CHARLOTTE
Overview

• The Leadership Experience - Project Topic
• Three years in the making
• Built on evidence-based research
• Collaborated with 27 Subject Matter Experts
• Cruise ship theme
## What’s the Difference?

<table>
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<tr>
<th>Orientation</th>
<th>Onboarding</th>
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<tr>
<td>- Single event</td>
<td>- Long term process</td>
</tr>
<tr>
<td>- Welcomes and affirms</td>
<td>- Part of a talent management strategy</td>
</tr>
<tr>
<td>- <strong>Covers:</strong> Documentation requirements Preliminary information Introduction to state employment</td>
<td>- <strong>Covers:</strong> Legal and policy information Job training Departmental onboarding Acculturation and networking</td>
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Course Structure

Blended Learning

Online in Canvas
- 6 Modules
- Discussion Boards
- Personal Reflection

Face-to-Face
- 4-hour NEO
- 4 Campus Connection Events
- New Employee Game
- 1-year Anniversary Reception
Time Commitment in Hours

1. Pre-employment exploration and preparation
2. New Employee Orientation class
3. Six self-paced online modules
4. Three Campus Connection events
5. Departmental onboarding with manager

TOTAL HOURS: 18
Campus Connection Events

- **60 DAY**
  - Guided tour of Popp-Martin Student Union & Student Affairs
  - Free meal voucher to SoVi

- **90 DAY**
  - Guided tour of football stadium or basketball arena
  - Free ticket + discounted tickets for family/friends + recognition at the game

- **120 DAY**
  - Guided tour of Belk Gym and introduction to ACCEHW
  - Free 5-day gym pass

- **365 DAY**
  - New employee anniversary celebration with managers
  - Light refreshments
# Content and Topics

<table>
<thead>
<tr>
<th>CONTENT</th>
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<tbody>
<tr>
<td>Module 1 Getting Started</td>
<td>Course Introduction and Support Technology Assessment History of UNC Charlotte</td>
<td>1-15</td>
</tr>
<tr>
<td>Module 2 Benefits</td>
<td>Benefits Overview</td>
<td>1-15</td>
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<tr>
<td>New Employee Orientation Class</td>
<td></td>
<td>1-15</td>
</tr>
<tr>
<td>Module 3 Campus Safety &amp; Security</td>
<td>Police, EHS, and Emergency Management</td>
<td>1-30</td>
</tr>
<tr>
<td>Module 4 Personal Safety &amp; Mutual Respect</td>
<td>Sexual harassment and violence Bullying and workplace violence EEO, ADA, and Title IX</td>
<td>31-60</td>
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Guided tour of Popp-Martin Student Union & Student Affairs

Free meal voucher to SoVi
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<td>Module 5 Institutional Integrity</td>
<td>Campus SaVE Act, FERPA and Public Records Fraud, Ethics, and Internal Audit</td>
<td>61-90</td>
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<td>Guided tour of football stadium or basketball arena</td>
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<tr>
<td>Module 6 Being a Member of Niner Nation</td>
<td>Athletics, Student Affairs, Niner Tech, Rec Services, dining &amp; shopping on campus, Library, Community Involvement, Staff Council</td>
<td>91-120</td>
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<td>Guided tour of Belk Gym and introduction to ACCEHW</td>
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<tr>
<td>BONUS!</td>
<td>New Employee Recognition at Football/Basketball Game</td>
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Every Module Has These Components

- Learning Objectives
- Monthly Checklists
  - Departmental onboarding
  - Job-specific training
  - Manager involvement
- Resources

- Quiz
- Checklist Assessment
- Reflection Activity
- Discussion Board

Tracks progress and participation
Will You Help Us?

• Spread the word
• Be positive about this change
• Attend the 1-year anniversary reception
• Review ongoing status reports and support participation
Next Steps

• January – New Employee Orientation reduced to 1.5 days and introduced Campus Connections
• February – Small pilot user group
• Summer – Soft launch course
• Fall – Go-live
• 2019 – Begin divisional status reports to Cabinet Members
• 2020 – Report ROI Metrics
FACTS

- 3400 of 4150 F/S enrolled in Duo
- 4% of F/S click link for phishing simulations
- Potential vulnerabilities decreased >50% since Feb 2016
- Monitoring real time vulnerability for accounts ~20 student and 3 F/S hacked per month
- Campus firewalls protect 27 TB of inbound/outbound traffic daily
- 70 million malicious IP and website blocks daily
Projects

- Alumni Email #106
- SalesForce - Continuing Ed #74
- LMS for Employees #120
Developing the FY 2019 Risk-based Audit Plan

- Feedback from members of the ACERM Committee
- Feedback from the Chancellor and members of his Cabinet
- Time since the last audit
- Number of findings in the last audit
- Dollar-value of transactions processed through the area
- Complexity
- Changes in policies, rules or regulations
- New system development
Comments

- FY 2019 Audit Plan approved by the ACERM Committee last week
- Audit Plan will be posted on our website this summer
- Kick-off meeting in late summer for those scheduled for audit
- Audit Plan is subject to change
- Not providing the FY 2019 Internal Audit Schedule
- Amount of time we schedule for audit is an estimate
- Provide one - two week notice prior to start of audit
- Let me know if there is a black-out time for your area
FY 2019 Internal Audit Plan

- Treasury Services - Gift Accounting
- Construction Contract Compliance
- Data Security Plans Verification
- Information Privacy (FERPA, HIPAA, GLBA)
- IT Security Review
- Internal Control Assessment Testing
- Admin Review: Metropolitan Studies & Extended Academic Programs
- Admin Review: Cato College of Education
- Admin Review: Provost Office
- Emergency Response/Crisis Communication Review
- Auxiliary Service Contract Review (Food Services, Bookstore)
- Parking and Transportation
- Vivarium Operations Review
- NCAA Compliance - Football Attendance Verification
- NCAA Compliance - Official Visits
Questions?
Thank you!

Next Business Update September 27 (tentatively)