Welcome to Focus on Finance!

May 17, 2018
Agenda

• Endowed Scholarships – Joanna Curtis & Colis Chambers
• Traveling? – Things to Know – LaTisha Williams
• Effort Reporting – Linda Heide
• Preparing for Year End – Bucket List – Monica Goldsby
• Audit Notes – Vicki Deaton
• What’s New? Who Knew? What’s Due?
University Foundation
Endowed Scholarships

Joanna Curtis, Deputy Chief Development Officer
Colis Chambers, Director Student Affairs Finance & Admin.
Process Improvement Project

Project Scope:

Review current procedures and practices related to setting up and budgeting scholarships funded through gifts to the UofM Foundation. Identify efficiencies, streamline communications, and ensure that the right departments and individuals are included in the process.
PIP Committee

- Becky McCoy, Development Office
- Breyanna Hampton, Development Office
- Carol Laney, Process Improvement
- Chaquieta Williamson, Development Office
- Colette Williams, Process Improvement
- Colis Chambers, Team Lead, Student Affairs
- Felicia Roddy-Jackson, Fogelman College
- Joanna Curtis, Development Office
- Linda Heide, Grants Accounting
- Lofton Wilborn, Scholarship Office
- Natalie Davis, Scholarship Office
- Patsy Marner, Foundation Office
- Sue Ann McClellan, Law Admissions
- Susan Armacost, Development Office
- Tarit Lim, Foundation Office
- Wattine Baker, Alumni & Development Services
What is Foundation Scholarship?

• Agreement between donor, University and UofM foundation
  – Individual
  – Corporate
  – Foundation

• Examples
  – Springfield Family Scholarship (Law)
  – Lettie Pate Whitehead Foundation (Nursing)
  – RP Tracks Scholarship (Arts & Sciences)
Objective:

• Why make the changes?

• What changes have been made to the scholarship creation and awarding process

• How will the changes affect units across the University?
Why make the changes?

• Cumbersome, manual process
  – Lots of paper travelling back and forth across campus
  – Required a physical signature – bottleneck when someone was off campus

• Too many cooks
  – Mystery where agreements were in the process/who had them on their desk

• Difficult to find information about agreements that have already been established
Here’s where we started!

- 17 Swim lanes
- 27 handoffs
- 19 Pains identified
- Multiple paper forms / copies being made
- Unnecessary approval signatures
- Tracking location of forms
- Manual reports – no system generated reports
Sample ‘AS IS’ Mapping
Here’s where we are now – ‘TO BE’

Foundation Scholarship Agreement – ‘TO BE’

START

1. Identify signature required (Dean or Provost)
2. Create Preliminary Agreement (use Word Template)
3. Create Fund Request (use Word Template)
4. Email & Attach Scholarship Coord.
   - Agreement
   - Fund/Waiver
   - Hand Off

5. Initial agreement terms will be reviewed by DOD, Sr. Director Development, Managing Director Foundation, Chief Development Officer

6. Review/Update Agreement

7. Email & Attach
   - Agreement
   - Fund/Waiver
   - Hand Off

8. Agreement Terms

9. Create Agreement

10. Auto Notification/Route to Donor

11. Go To P2 A

12. From P2 B

13. Create Fund/Waiver Section

14. Auto Notification/Route Foundation

15. Go To P3 C

When Fund Request has been completed, Scholarship Coordinator emails Agreement and Fund Request form to DOD & Departmental Contacts.
What’s changed?

• New funds are set up more quickly and efficiently
  – Standardized format for all scholarships.
    • Publicity form and waivers built into the template.
    • More information about the donor and their interests/concerns
  – Request for New Fund form electronically packaged with gift agreement.
    • Option for email to be sent to others besides the signatory who need to know – scholarship coordinator, business officer, etc.
  – Electronic signatures using DocuSign to expedite the process.
    • No paper!
    • Fewer signatures required
    • Progress of the agreement trackable.
    • Automatic notification to everyone who signed when agreement is completed.

• Call Scholarship Coordinator if you have questions about the process.
What’s changed?

• New Argos report through UM portal of scholarships that haven’t been claimed.
  – Run on demand with real-time information after 14 day count.
  – Ensure that students are benefitting from foundation funds available to them.
  – Donor funds are being appropriately used.
How will the changes affect units across the university?

• Faster!
  – Available electronically so no need for people to be in their office to move the process forward.
  – Fewer frustrations and questions from Deans and Administrators

• More efficient
  – Transition from manual to more automated
  – See where it is in the process

• More transparent
  – See who is involved in the process
  – Everyone who needs access to the information has it

• Privacy
Questions
Traveling? – Things to Know

LaTisha L. Williams
Asst. Manager, General Accounting
Traveler - Things to Know

• Read BF4001 – University Travel
  https://memphis.policety.com/dotNet/documents/?docid=405&public=true

• Read the Travel Policy – Frequently Asked Questions

• All business travel requires University approval. Approval is authorized via a fully approved Travel PO.
  – University funding – Gather purpose/mode of travel and accommodation documents, estimate travel expenses, and request PO. (Shared Services or Depart.)
  – Non-University funding - Gather purpose/mode of travel and accommodation documents, estimate travel expenses and request $1 PO. (Shared Services or Depart.)
  – POs for International Travel requests should be submitted at least twenty-one (21) days prior to travel and include a break-down of expenses.

• Note: Departments may have additional requirements.
Fully Approved PO

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<td>LaTisha Williams</td>
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</table>
Traveler – After PO Approval

- After PO has been fully approved, you may proceed with reservations and check requests.
  
  - **Airline** - Contact Travelennium – X3204 or (901) 767-0761
    - Provide approved PO number
    - Print and maintain a copy of email confirmation
  
  - **Car Rental** - Go to the University’s Car Rental Website - [http://www.memphis.edu/procurement/travel/carrental.php](http://www.memphis.edu/procurement/travel/carrental.php)
    - Click Car Rentals for Business Purpose. (Enter username and password.)
    - Review Welcome Information and note direct billing number
    - Select link to go to the Enterprise and National Reservations Site
    - Select Agency - Enterprise (local) or National (airport)
    - Make reservations – include Billing Number, Department, PO Number, and Index
    - Print and maintain a copy of email confirmation
Traveler – After PO Approval

• After PO has been fully approved, you may proceed with reservations and check requests.

  – **Hotel accommodations** – Via Conference Site or Request Conference/ Government Rate (Attach conference brochure which documents rate.)
    • Check Request – Payable to the hotel (Attach a 2nd copy to mail with check - Preferably 4 weeks in advance)
    • Or Reimbursed to traveler after completion of travel

  – Complete **Conference Registration**
    • Check Request – Attach a 2nd copy to mail with check
    • Purchasing Card – Maintain a copy of approved PO and email registration confirmation with P-Card documentation

  – **Optional Events** (The University cannot reimburse for Optional Events. i.e. Evening Banquet, Tours)

  – **Internet travel sites** such as Expedia, Travelocity or Kayak can be utilized to purchase single travel services such as an airline ticket. **Internet travel sites cannot be used to purchase a package of more than one travel service.**
Travel Resources

• University Travel BF4001
  https://memphis.policytech.com/dotNet/documents/?docid=405&public=true
• Travel Policy – FAQs
• Travel Estimator Worksheet
• Enterprise Rent-A-Car
• Request for Travel Advance
• Request for Future Year Travel Authorization
• Claim for Traveling Expenses
• Authorization for Direct Deposit of Vendor Payments
Questions
Effort Reporting

Linda Heide
Manager - Grants and Contracts Accounting

BF4010 Certification of Effort
Definitions

Effort

- Time spent on any activity by an individual, expressed as a percentage of the individual’s total University Effort.

Effort Certification

- The affirmation by the individuals completing each Effort Certification form that the percentages of effort charged to sponsored projects as direct charges or cost sharing reported on the form is accurate based on the work performed during the reporting period. Knowingly signing an inaccurate effort certification is a serious violation of University policy, as well as potentially a violation of civil and criminal fraud statutes.

Effort Reporting

- The process by which the University documents the percent of Institutional Base Salary and Summer Salary charged to sponsored projects and other accounts during each effort reporting period, and individuals certify that the work was performed. The effort report form documents the proportion of time devoted to sponsored projects, teaching and other activities expressed as a percentage of total University effort.

Certification Period

- The 30 day time period for individuals to certify and/or approve effort for work performed on grant projects.
Who Must Comply

All individuals involved with the administration and conduct of federally sponsored award activities, including central and departmental administrators.

- Principle Investigators (PIs)/Faculty
- Department Administrator/Business Officer
- Departmental Chair/Directors
- Dean
- Financial Reporting
- Grants and Contracts Accounting
- Provost Office
- Vice President of Research
Roles and Responsibility

Principal Investigator (PI)

- Responsible for understanding the principals of accurate effort reporting
- Must be aware of the level of effort committed to a sponsor in relation to all other professional activities included in total effort.
- When appropriate, request sponsor approval in advance for planned reductions in effort greater than 25% (or other applicable threshold)
- Identify situations where the salary representing the effort devoted to a award is more than the actual percent of effort devoted to the award.
- Change the effort report when inaccuracies exist.
- Must certify his/her own form and should approve effort forms of others working on his/her awards.
- In accordance with Effort Certification Procedures, complete and/or approve all Effort Certifications for grants under his/her responsibility.
- 9-month faculty receiving summer compensation during the summer months must ensure that the effort was expended during the summer effort reporting period for which they were funded.

Administrator/Business Officer

- Assist individuals required to certify effort with understanding the certification of effort process.
- Assist PI in initiating requests for adjustments in labor distribution in accordance with the UM1720 Cost Transfers.
- Ensure that effort reports are completed and certified and in accordance with UM1676 Certification of Effort.
- Retain supporting documentation related to salary and effort distributions.
## Effort Certification Reporting Schedule

<table>
<thead>
<tr>
<th>Effort</th>
<th>Period</th>
<th>Due</th>
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<tbody>
<tr>
<td><strong>Fall Effort</strong></td>
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<tr>
<td>Group Reporting Period</td>
<td></td>
<td><strong>January 31</strong></td>
</tr>
<tr>
<td>Admin/Faculty 12 month</td>
<td>July 1 - December 31</td>
<td></td>
</tr>
<tr>
<td>Faculty 9 month</td>
<td>September 1 - December 31</td>
<td></td>
</tr>
<tr>
<td><strong>Spring Effort</strong></td>
<td></td>
<td><strong>May 31</strong></td>
</tr>
<tr>
<td>Group Reporting Period</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Admin/Faculty 12 month</td>
<td>January 1 - April 30</td>
<td></td>
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<tr>
<td>Faculty 9 month</td>
<td>January 1 - April 30</td>
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<tr>
<td><strong>Summer Effort</strong></td>
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<td><strong>July 5</strong></td>
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<tr>
<td>Group Reporting Period</td>
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<tr>
<td>Admin/Faculty 12 month</td>
<td>May 1 - June 30</td>
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<tr>
<td><strong>Summer Comp Effort</strong></td>
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<td><strong>October 31</strong></td>
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<tr>
<td>Group Reporting Period</td>
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<tr>
<td>Faculty 9 month</td>
<td>May 1 - September 30</td>
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</table>
### Effort Certification

**Need help?**

**Suppress Codes**

**Effort Summary for:**
- **Fiscal Year:** 2017
- **Reporting Period:** 2017S
- **Term codes:** S-Spring U-Summer X-Fall Summer Comp F-Fall

<table>
<thead>
<tr>
<th>Fund</th>
<th>Org</th>
<th>Program</th>
<th>Account</th>
<th>Activity</th>
<th>Expensed %</th>
<th>Certified %</th>
<th>Expected Approver</th>
<th>Approved By/Date</th>
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<tbody>
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**Total**

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<th>Fund</th>
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<th>Account</th>
<th>Activity</th>
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<th>Certified %</th>
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If there is a grant that you believe is missing from the list above, please add a line with as much information as you can, and click Save Changes (do not click Certify). Grants accounting will be contacting you to complete the process. Questions? Contact grants@memphis.edu

This form was certified by [ ] on 04/27/17 11:13

Last updated by [ ] on 06/14/17 10:14

**Comments** Be sure to save your comments if you insert any in the box below.

Save Changes  Warning: Existing certifications and approvals will be reset when clicking Save Changes.

Save Comments Only
Tabs: Summary, Detail, Grants, Approvals

- **Summary**: provides Fund, Program, Expensed%, Certified%, Expected Approver
- **Detail**: provides the month, account code, fund, org, and activity percent
- **Grants**: list of individuals on grant(s) by fund
- **Approval**: Forms awaiting approval
Effort Review

- Review salary charges for effort certification period with PI and staff.
- Is all of the effort accounted for in the system?
- Does salary splits agree with budget and PI’s expectation?
- If changes are needed, submit salary redistribution form. If after the fact, submit effort re-certification form.
Example 1:
Professor X is budgeted 10% on Grant ABC/Fund 247895. The begin date is Sept. 1 and the end date is Dec. 31. Professor X’s salary is $100,000 and is 9 months. The amount charged to the grant is:

\[
\frac{100,000}{8} = 12,500 \text{ per month} \times 10\% = 1,250 \text{ per month for 4 months} = 5,000
\]

On Professor X’s Effort Form for the Period of July 1-Dec 31 the expensed % = 90% Fund 110001

On the Detail Tab:

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<th>10% Fund 247895</th>
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<tr>
<td>Nov</td>
<td>10% Fund 247895</td>
<td>90% Fund 110001</td>
</tr>
<tr>
<td>Dec</td>
<td>10% Fund 247895</td>
<td>90% Fund 110001</td>
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Grant 247895 = \frac{40}{400} = .10
**Example 2:**

Professor X is budgeted to Fund 247895 as follows

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<th>Percentage</th>
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<tr>
<td>Oct</td>
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<td>10%</td>
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<td>10%</td>
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<tr>
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<tr>
<td></td>
<td>20%</td>
<td>Fund 247895</td>
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On the Effort Form for the Period of July 1 - Dec 31 the Expensed % = 89% Fund 110001 11% Fund 247895

Grant 247895 = 45/400 = 11%
Example 3:
12 month employee Jane Smith is budgeted to Fund 247895. The grant begins Nov 1.

On Jane’s Effort Form for the period of July 1- Dec 31 the Expensed% = 97%  Fund 110001

3%  Fund 247895

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<tr>
<td>Dec</td>
<td>90%</td>
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Grant 247895 = 20/600 = .03
Example 4:
A Graduate Assistant works 20 hours a week on grant fund 247895 that starts July 1.

On the GA’s Effort Form for the period of July 1- Dec 31, the Expensed% = 100%

On the Detail Tab:

<p>| | | | |</p>
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</tr>
<tr>
<td>Dec</td>
<td>100%</td>
<td>Fund 247895</td>
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</tr>
</tbody>
</table>

Grant 247895 = 600/600 = 100%
Questions
Preparing for Year End – Bucket List

Monica Goldsby
Manager, General Manager
Seven Things To Do Before FY-18 Rolls Over

1. Complete All Travel Claims.
2. Settle Supply Advances.
3. Review and Request Deobligation of Purchase Orders. (Travel and Goods/Services)
4. Ensure that all invoices for Goods and Services are forwarded to Accounting.
5. Request Your Future Year Travel Purchase Orders.
Seven Things To Do Before FY-18 Rolls Over


7. Ensure FY-18 Fixed Asset Purchases are Properly Tagged.
Bucket List Resources

• Accounting Forms
  http://bf.memphis.edu/forms/finance.php
  #accounting

• Review Open POs (FPIOPOF) & Finance ePrint Reports
  FGROPNE Open Encumbrances
  https://my.memphis.edu

• Fixed Assets
  http://bf.memphis.edu/finance/accounting/fixedassets.php
Questions
Audit Notes

Vicki Deaton, Chief Audit Executive
May is International Internal Audit Awareness Month!

What is Internal Auditing?

- Internal auditing is an independent, objective activity designed to add value and improve an organization’s operations.
- Internal auditing is critical to strong corporate governance, risk management, effective internal control, and efficient operations.
What do Internal Auditors do?

- Evaluate risks
- Assess controls
- Monitor compliance
- Improve operations
- Review processes & procedures
- Assure safeguards
- Investigate fraud, waste, or abuse
- Offer insight & advice
- Communicate results & recommend action
Annual Audit Plan

Annually, the Chief Audit Executive develops an internal audit plan of work.

The audit plan is based on the University’s risk assessment, state statute requirements, input from University management, and resources needed for follow up of past audit work and anticipated investigations.

The plan is submitted to the Audit Committee for review and approval.
Organizational Structure

At the UofM, the Office of Internal Audit & Consulting reports directly to the Audit Committee of the Board of Trustees.

The Office reports administratively to the President for internal accounting purposes.

This structure provides Internal Audit employees organizational independence and objectivity.
Independence

- Internal Auditors must not be assigned duties or be involved in activities that are the responsibility of University management.
- Internal Audit does not have direct responsibility for, or authority over, any of the activities, functions, or tasks it reviews.
- Internal Audit’s review does not relieve others of their responsibilities.
Communicating Results

Results of audit work are provided to:

1. Responsible management
2. Audit Committee of the Board of Trustees
3. TN Comptroller of the Treasury

Status of recommended action plan completion is provided to:

1. University management
2. Audit Committee of the Board of Trustees
Reporting Suspected Fraud, Waste, or Abuse

If you have information about activities you 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
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 / cwolson14@memphis.edu

Emily Bridges, CPA
Senior Internal Auditor
901.678.4084 / ebridges@memphis.edu
Questions
What’s New? SGA Travel Funding

• Process Improvement Team – SGA Travel
• Updated Guidelines – Consistent with University Travel Policy
• All funding sources (Index/Amount) due with the submission of SGA travel request.
• Application submitted through Tiger Zone and approvals routed through DocuSign.
• Travel PO information submitted to Shared Services via Help Desk Ticket.
<table>
<thead>
<tr>
<th>Workshops</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tigerbuy Training</td>
<td>Wednesday, May 23, 2018</td>
</tr>
<tr>
<td>Admin Bldg. - Room 119</td>
<td>9:30 - 11:00 AM</td>
</tr>
<tr>
<td>Tigerbuy Training</td>
<td>Wednesday, June 06, 2018</td>
</tr>
<tr>
<td>Admin Bldg. - Room 119</td>
<td>9:30 - 11:00 AM</td>
</tr>
<tr>
<td>Tigerbuy Training</td>
<td>Thursday, June 21, 2018</td>
</tr>
<tr>
<td>Admin Bldg. - Room 119</td>
<td>9:30 - 11:00 AM</td>
</tr>
</tbody>
</table>
# What’s Due?

<table>
<thead>
<tr>
<th>Activity</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inventory Confirmations <em>(Overdue - Only 64% Complete)</em></td>
<td>Friday, March 30, 2018</td>
</tr>
<tr>
<td>Time Sheet for BW11 Biweekly Payroll <em>(May 12th - May 25th) EARLY!!</em></td>
<td>Thursday, May 24, 2018</td>
</tr>
<tr>
<td>Effort Certification - January 1st - April 30th <em>(Released April 30th)</em></td>
<td>Thursday, May 31, 2018</td>
</tr>
</tbody>
</table>
## What’s Due? Year-End

<table>
<thead>
<tr>
<th>Activity</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process FY-18 Purchase Requisitions that require bidding ($10,000 or more)</td>
<td>Tuesday, May 15, 2018</td>
</tr>
<tr>
<td>Process FY-19 Purchase Requisitions that require bidding ($10,000 or more) with July 1, 2018 contract start date</td>
<td>May 15 - June 30, 2018</td>
</tr>
<tr>
<td>Process FY-18 Purchase Requisitions that do NOT require bidding</td>
<td>Beginning Monday, May 15, 2018</td>
</tr>
<tr>
<td>Book Airfare Reservation via Travelennium for Travel in FY-18</td>
<td>Monday, June 11, 2018</td>
</tr>
<tr>
<td>Process FY-18 Purchase Requisitions that do NOT require bidding</td>
<td>Friday, June 08, 2018</td>
</tr>
<tr>
<td>Cancel, Adjust, Deobligate Remaining Balances on FY-18 Requisitions</td>
<td>Friday, June 22, 2018</td>
</tr>
<tr>
<td>Time Sheet for BW13 Biweekly Payroll (June 9th - June 22nd)</td>
<td>Friday, June 22, 2018</td>
</tr>
<tr>
<td>Complete Staples Purchase Orders</td>
<td>Monday, June 25, 2018</td>
</tr>
<tr>
<td>Settle Travel Advances for FY-18</td>
<td>Monday, June 25, 2018</td>
</tr>
<tr>
<td>Submit Claims for Petty Cash Reimbursement</td>
<td>Monday, June 25, 2018</td>
</tr>
<tr>
<td>Online Budget Revisions between Account Pools</td>
<td>Monday, June 25, 2018</td>
</tr>
<tr>
<td>Submit Invoices, Travel Claims and Reimbursements to Accounting (FY-18)</td>
<td>Friday, July 06, 2018</td>
</tr>
<tr>
<td>Submit Transfer Vouchers to Accounting</td>
<td>Friday, July 06, 2018</td>
</tr>
<tr>
<td>Time Sheet for Split BW14 Biweekly Payroll (June 23rd - July 6th)</td>
<td>Friday, July 06, 2018</td>
</tr>
</tbody>
</table>
Next Focus on Finance

June 21, 2018
1:30-3:00 PM
UC Memphis Room 340

• Comments or suggestions?
  Email: bffin@memphis.edu

• Focus on Finance website:
  http://memphis.edu/focusonfinance