The University of Iowa

Quarterly Budget Officers Meeting

October 2013
Organized by the Controller’s Office, Finance & Operations
Today’s Agenda

I. New Form for Electronic Delegation of Authority  
   (Debby Zumbach & Sherri Reynolds-Miller)

II. Tracking Gift Accounts  (Audra Haddy)

III. Internal Audit Findings  (Todd Stewart)

IV. New IT Institutional Accounts  (Selina Martin)

V. eDeposit System Enhancements  (Kristy Kellbach & Scott Godsil)

VI. Institutional Roles  (Selina Martin)
Delegation of Signature Authority
eForm

Debby Zumbach/Sherry Reynolds-Miller

Accounts Payable, Purchasing and Travel
Delegation of Signature Authority -- eForm

Now Available -- Delegation of Signature Authority eForm

- **Direct** delegation for purpose of approving purchase/payments processed by Accounts Payable, Purchasing and Travel Office

- **Responsibility of the delegator;**
  - Know the situation/s in which delegation may occur
  - Ensure that the individual to whom authority is assigned understands the limits of the delegated authority

- Department must **annually review** approvals to ensure accurate and up to date records.

**The person delegating signature authority to another is ultimately responsible for the delegated individual’s actions.**

PART V-7.3 Delegation of Signature Authority - University of Iowa Operations Manual
Delegation of Signature Authority -- eForm

Authorized Uses/ Form Types:

- **Purchasing**
  - Purchase Requisition
  - eBuy Requisition

- **Accounts Payable**
  - eVoucher
  - eVoucher – Alcohol
  - eVoucher – Research Subjects
  - eVoucher - Services (Citizen)
  - eVoucher – Services (Non – Citizen)

- **ProTrav**
  - Procurement Card Voucher
  - Procurement Card Application
  - Travel Expense Voucher
  - Travel – Trip Request
  - Travel – Cash Advance
Delegation of Signature Authority -- eForm

Key Attributes of the Form:

- Must be **initiated** by the individual requesting signature authority
- Must be **approved** by the individual granting signature authority
- **Authorized Uses/ Other Limitations** - The department -- **at their discretion has the option** to limit signature authority to certain circumstances, maximum dollar thresholds etc.
- If any changes made on the form by the delegator - reflected in the **change log** displayed on form
- System generated emails, request, approval, denied, cancelled
- **Report** available upon request -- provides listing per org/dept. delegation of signature authority forms completed

DEMO
Delegation of Signature Authority -- eForm

System Generated e-mail examples:

From: delegateauthority@uiowa.edu
To: Reynolds-Miller, Sherry K
Cc:  
Subject: eForm Request for Delegation of Signature Authority - Please Review

Please review the following request for Delegation of Signature Authority.

The following individual has requested permission to approve defined forms/transactions as a delegate of your signature authority.

Individual Requesting: Dagong Wang

eForm Request: Delegation of Signature Authority

To view, approve, or deny this eForm request, please click on the link below:
https://services.bo.uiowa.edu/apps/DelegationOfAuthority/v1/Default.aspx?eFormInstanceId=2236&guid=e320d599f0d4e6ea82296182f10daa4&visitorType=Appointee

Questions concerning this request can be directed to delegateauthority@uiowa.edu.

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You forwarded this message on 7/30/2013 12:52 PM.
From: delegateauthority@uiowa.edu
To: Wang, Dagong
Cc: Reynolds-Miller, Sherry K
Subject: eForm Delegation of Signature Authority 2236 was Approved

Dagong Wang

This email serves as notification that the Delegation of Signature Authority form completed by you has now been marked as complete.

The approved delegation authorizes you signature authority on behalf of Sherry K Reynolds-Miller. It is the responsibility of the delegator to know the situations in which delegation may occur.

Departments are encouraged to periodically review these approvals and make updates if there are changes to authorized uses, limitations or if staff terminate employment.

Questions can be directed to delegateauthority@uiowa.edu.
Delegation of Signature Authority -- eForm

Delegation of Authority form accessible via:

- E-forms -- [http://www.uiowa.edu/~eforms/](http://www.uiowa.edu/~eforms/)
- Accounts Payable, Purchasing and Travel Forms -- [http://www.uiowa.edu/purchasing/Shared/forms.htm](http://www.uiowa.edu/purchasing/Shared/forms.htm)
Tracking Gift Accounts

Audra Haddy

Associate Controller & Director
Grant Accounting
Tracking Gift Accounts

- New guidelines for tracking gifts:
  - Identifies importance of ensuring donor intent
  - Instructs when unique WhoKey must be established
    - Specific donor intent vs. discretionary
    - UIF vs. UI
  - Describes appropriate procedure for depositing receipts/reimbursements
  - Establishes rules to move gift funds/expenditures
Tracking Gift Accounts

- Guidelines available on Grant Accounting website
- Announcement will be sent to Budget Officer listserv
- Next step:
  - All new gift accounts will follow the new guidelines
  - Grant Accounting will work with each Org/Dept to review current gift accounts & identify changes
Internal Audit Finding

Todd Stewart

Chief Audit Executive
Office of Internal Audit
Internal Audit Findings

1. Business Planning & Practices
2. Compliance and Internal Controls
3. Human Resources
4. Information Technology (IT)
5. Inventory and Capitalized Equipment
Business Planning & Practices

- Documented Business Continuation & Disaster Recovery Plans
- Price Setting Methodology – Goods or Services
- Employee travel approved prior to departure date
- Ongoing rental storage space charged to Pcard
Compliance and Internal Controls

- Segregation of Duties
  - Incompatible purchasing duties
- Timely Reconciliations
  - Monthly Statements of Accounts
- Travel Vouchers – Approved by Supervisor
- Delegation of Signature Authority
- Cash Handling Procedures
- Oversight of Procurement Card
- Missed Billing Opportunities
Human Resources

- Human Resources Termination
  - Timely Restriction of User Access and Physical Access
- Performance Appraisals
  - Overdue
  - Missing Signatures
- Procurement Oversight – Rewards & Recognition Policy
- Staff Training – Various Areas
Information Technology

- System Access Controls
- Technology Inventory
- System Documentation and Cross Training
- Noncompliant Password Protocols
- Network Vulnerability Scans
- Change Control
- Work stations joined to the uiowa domain
Inventory & Capitalized Equipment

- Inventory Discrepancies
- Inventory and Supply Management
- Merchandise not properly accounted for
New Institutional Accounts (IACTS) for IT Services & Equipment

Selina Martin

Associate Controller
Finance & Operations, Controllers Office
Why new IACTs?

- Improve ability to **track** IT hardware, software and service-related procurements
- Improve ability to **report** annual spend information
- Improve ability to **route** IT transactions for workflow approval *(allow Org level control)*
- Improve **compliance** with IT security, networks and other IT standards and policies
- Identify ways to improve information being routed to staff responsible for **inventorying** and tracking computer hardware and software (in accordance with UI policy)
Summary of changes

- New Iacts specific to...
  - IT Hardware (non-capital, <$5K)
  - IT purchased services
  - IT Capital Equipment (capital, >= $5K)

- Changes to descriptions of existing Iacts
New Iacts for IT Hardware
(Less than $5,000)

- **6081 - Computers & Smart Devices**
  (Desktops, Laptops, Tablets, and handheld smart devices)

- **6082 – Printers, Peripheral Devices**
  (Memory Sticks; USB Drives; external/internal drives; keyboards, multi-use copiers, speakers; IT assistive technology devices)

- **6083 Server, Networking, Data Storage Equip**
  (servers, switches, routers, access points, SANs, firewalls, load balancers, or other related equipment. The type of data storage referenced is typically purchased by IT staff)
New Iacts for IT Purchased Services

- **6216 - IT Ext. Consulting & Prof Svcs**
  (Consulting/Professional Services purchased from vendors -- software development, IT consulting, Telecom)

- **6221 - IT Hardware Maint & Lease**
  (Charges for maintenance, lease rental or ongoing support of IT Hardware)

- **6222 - IT Software Maint & Lease**
  (Charges for maintenance or ongoing support of software)

- **6223 - IT Outsourced Services**
  (IT Services purchased from outside providers)
New Iact for IT **Capital Equipment**
(Greater than or equal to $5,000)

- 6731 - IT Equipment Capitalized
  a. Networking equipment
  b. Servers
  c. Storage equipment
  d. Printers

*Note: Non-IT Equipment will continue to use 6730*
Implementation Plan for new Iacts

• Effective date is July 1, 2014

• Iacts will be set up in PSGL with future date (*use for FY15 Budget as appropriate*)

• Purchasing commodity codes will be mapped to new Iacts

• Other systems/processes updates

• Training & communication
eDeposit System Enhancements

Kristy Kellbach & Scott Godsil

Finance & Operations
Treasury Operations
eDeposits --
Additional Controls & Enhancements

- Automated the importing of bank files and reconciliation of deposits saving an hour of manual work daily!
- Automated notifications of variances & new variance policy.
- Attachments can be added to an edeposit, even after reconciliation. Attachment can be a PDF, Word Document, Excel spreadsheet, Email.
- Iacct’s – positive and negative values driven by transaction type.
- Restricted Iaccts
eDeposits --
Additional Controls & Enhancements

- Fund 520 deposit notifications to Grant Accounting (attachment required in edeposit)
- Ability to create a group with one or more Admins.
  - Allows the ability to see deposits done by everyone in the group.
  - Allows the group to share templates.
- Improved search options (partial MFK, distribution amount & bank date.
- Faster! Search results are displayed quicker due to archiving and optimization.
- Ability to import a file to create a deposit. .csv .xls, .xlsx
eDeposits -- Coming Soon!

- Enhanced notification and reporting for “Banked, not Booked” and “Booked, not Banked”
- Automation of reordering deposit slips
- Icon course and cash handling required for access to the system
eDeposits System Access & Training

All cash and check bank deposits, as well as credit card sales are reported using the eDeposits system and will be posted to the General Ledger when the funds are received at the bank.

Requesting Access to eDeposits
Complete and send the FUS-DSS Access Request Form to treasury-edeposits@uiowa.edu or fax to 353-2442.

Multiple users may request to have the identical values inserted into forms, based on submission of a profile by a group administrator. If you would like to have default information available to more than one user, please contact Scott Godsil, 335-2764, treasury-edeposits@uiowa.edu, to set up a group account.

eDeposits Training
It is strongly recommended that individuals receiving access to the eDeposits system complete the online eDeposits course available in ICON. This course may be accessed through Employee Self Service:

1. Once you have logged into self service, click on the Personal tab.
2. Locate the Learning and Development section on the page
3. Click on the My Training link
4. Click on the Available ICON Courses link (toward the top of the page)
5. Click on eDeposits in the list of courses (course number W0026)
6. Click on the Enroll in this ICON Course button
Institutional Roles

Selina Martin

Associate Controller
Finance & Operations, Controllers Office
Institutional Roles Summary

**Handout**

- Category Name
- Role Name
- Who maintains & updates the role?
- Is there a listserv associated with the role?
- Which systems or applications use the role to control access?
- What Workflow transactions are impacted by roles?
- What other automated processes are impacted by role?
### Institutional Roles Summary

<table>
<thead>
<tr>
<th>Category Name</th>
<th>Role Name</th>
<th>Who maintains &amp; updates the role?</th>
<th>Is there a listerv associated with the role?</th>
<th>Which systems or applications use the role to control access?</th>
<th>What Workflow transactions are impacted by roles?</th>
<th>What other automated processes are impacted by role?</th>
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<tr>
<td>Budget Officer</td>
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<td>Sub-department Administrator (Sub-dept)</td>
<td>Budget Officers, Department Administrators &amp; their delegates</td>
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<tr>
<td>Dean</td>
<td>Dean</td>
<td>Automatically populated and refreshed nightly</td>
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<td>Faculty Supervisor Population</td>
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<td>Faculty Oversight and Role Admins</td>
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<td>ePersonnel, Position, My Classification</td>
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<td>Faculty Supervisor Population</td>
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<td>Associate Dean or Faculty Oversight Administrator and Role Admins</td>
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<td>ePersonnel Attachments</td>
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<td>ePersonnel, Position</td>
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<td>Senior HR Leader (Org)</td>
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<td>ePersonnel, Position Management, Supervisors, Working Titles, Performance and Salary Reports, etc.</td>
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</tbody>
</table>

*Draft - in progress*