TODAY’S AGENDA

I. Budget Updates (Susan Klatt)
II. Credit Card Policy & PCI Compliance (Sara Jedlicka & Warren Staal)
III. Purchasing, A/P & Travel BI Reporting (John Watkins)
IV. Professional Liability Program Blanket Policy (Emily Robnett)
V. HR2020 Update (Terri Hein & Dan Schropp)
VI. Utilities System P3 Evaluation (Terry Johnson)
VII. Other Updates (Selina Martin)
BUDGET UPDATE

SUSAN KLATT, ASSISTANT VP & UNIVERSITY SECRETARY AND DIRECTOR, TREASURY OPERATIONS AND FINANCIAL MANAGEMENT, FINANCE & OPERATIONS
CREDIT CARD POLICY AND PCI COMPLIANCE

SARA JEDLICKA, DIRECTOR, INVESTMENTS, BANKING & TRUST OPERATIONS, TREASURY OPERATIONS, FINANCE & OPERATIONS
WARREN STAAL, SENIOR IT SECURITY ANALYST, SECURITY OFFICE, INFORMATION TECHNOLOGY SERVICES
UI CREDIT CARD POLICY - BACKGROUND

- Policy last updated in 2016
- Processor conversion in 2016-2017
- PCI-DSS internal audit in 2018
- Treasury Operations
  - Information Security & Policy Office
  - Controller’s Office
- New Merchant Requests - https://finapps.bo.uiowa.edu/MerchantAccount/
- SAQs are completed annually via https://pcicompliancemanager.com
- SAQ & Scan Requirements Guide Table – policy Appendix D
- Monthly reconciliation of credit card sales to the Elavon merchant statement and TDR
- Annual ICON course requirement for all staff
  - WCCARD – Credit Card Policy Training
  - WSANSI – UIOWA Security Awareness Training
  - Utilize HR contact to add to employee training compliances for monitoring
NON-COMPLIANCE – NO CHANGES

- Merchant accounts with:
  - Non-compliant SAQ OR Non-compliance External Vulnerability Scan
  - Systems not on the PCI network
- Will be given a reasonable amount of time, not to exceed 30 days, to resolve the issues that have caused the non-compliance. Non-compliant merchants beyond the allowed timeframe will be reported to the following individuals with the recommendation that merchant card processing privileges be terminated:
  - University Chief Information Security Officer
  - University Chief Financial Officer
WHAT HAS CHANGED?

NEW INFORMATION FOR DEPARTMENTS

- Validated and Approved methods of processing
- E-commerce website requirements
- Pricing estimates when available
- Technology Review Process – third parties and new technology not already validated and approved
WHAT HAS CHANGED?

- Sections reorganized for better flow
- Reference information for both new and existing merchants
- American Express acceptance campus wide
- PCI Steering Committee formed in 2018
  - Monitor 2018 PCI audit findings to ensure timely closure
  - Provide campus guidance
  - Promote merchant engagement from both business and technical staff
The 5 stages of PCI maturity

Stage 1: Denial.
As a Service Provider I don’t have to comply with these requirements!

Stage 2: Anger.
These requirements are stupid!

Stage 3: Bargaining.
If I do these compensating controls then I can do what I want!

Stage 4: Depression.
What have I done wrong to deserve this? I do PCI-DSS thing!

Stage 5: Acceptance.
OK, we use payment cards so we need to do this PCI-DSS thing!
NEW INITIATIVES FOR PCI COMPLIANCE
TREASURY OPERATIONS

- Improved notification process utilizing Dispatch application
  - In addition to PCI Compliance Manager emails, merchants are notified at least one month in advance of SAQ expiration
- Spirion monthly scans requirement for merchants using shared mailboxes
NEW INITIATIVES FOR PCI COMPLIANCE

INFORMATION SECURITY & POLICY OFFICE

- PCI Network – guidance clarification
- IT Support - bringing ITS and HCIS engagement into completion of SAQ
- PCI Matrix – Information Security and Policy Office initiative
NEW INITIATIVES FOR PCI COMPLIANCE

INFORMATION SECURITY & POLICY OFFICE

Credit Card Handling (PCI-DSS) Standards Compliance

Credit Card Handling (PCI-DSS) Standards Compliance
The IT Security Office works with Treasury Operations to offer technical analysis and assistance to ensure compliance with IT security standards for handling credit cards on all campus systems. The service involves a review implementation of systems that accept credit cards for payment, to ensure compliance with the Payment Card Industry Data Security Standards. The IT Security Office provide recommendations to mitigate issues, or areas needing additional controls.

If you have questions or need assistance please call the IT Security Office (5-6332) or email: it-security@uiowa.edu

More information can be found off of the Treasury Operation's website.

Click the PCI Compliance Matrix link below to download a local copy to complete. Click the PCI Compliance FAQs link at the top of the page to view the most current frequently asked questions.

PCI Compliance Matrix

For additional information, questions and or feedback e-mail: it-security@uiowa.edu.
PURCHASING, ACCOUNTS PAYABLE & TRAVEL BUSINESS INTELLIGENCE (BI) REPORTING

JOHN WATKINS, DIRECTOR PROJECT MANAGEMENT, BUSINESS SERVICES, FINANCE & OPERATIONS
Definition of Business Intelligence (BI)

- Techniques and tools for acquiring and transforming data into meaningful and useful information for business analysis.

Project Overview

- **Objective:** Provide detailed reporting from Purchasing, Accounts Payable, and Travel systems to campus.

- **Project Team**
  - ProTrav Reporting Focus Group including April Tippett, Nate Robinson, Terri Hein, Laura Felleman, and Chris Anderson.
  - Working with the Business Intelligence Shared Service Center (BISSC) in ITS: Dawn Moore, Braden Smith, and led by Brenda Ulin.
  - Purchasing, Accounts Payable, and Travel team with support from Finance and Business Information Systems (FBIS) and Administrative Information Systems, ITS.
3 Project Phases for Campus Reports

- **Phase 1:** Travel-related Data Model, Data Mart, Tabular Model, and Travel Explorer Report
- **Phase 2:** Updates to Data Model, Data Mart, Tabular Model with Procurement Card data
- **Phase 3:** Revamp PeopleSoft Data Model and Data Mart

**Current Status**

- Travel-related Data Model, Data Mart, and Tabular Model created
- ProTrav Travel Explorer report created and final testing is underway
  - Phase 1 go-live target is 1st half of April
  - Email communication at go-live including directions for requesting access
  - Reported issues will be logged and prioritized
QUESTIONS AND NEXT STEPS

- **Next Steps**
  - Interested in joining the ProTrav Reporting Focus Group? Email john-e-watkins@uiowa.edu
  - ProTrav Travel Explorer report
    - Phase 1 go-live target: 1st half of April
    - Email at go-live with instructions for requesting access
  - Phase 2 Kick-off
PROFESSIONAL LIABILITY
PROGRAM BLANKET POLICY

EMILY ROBNETT, RISK MANAGEMENT ADMIN, BUSINESS SERVICES, FINANCE & OPERATIONS
### Policy Comparison and Cost Savings

**Key Changes:**
- **$17,000** premium savings for the blanket policy
- Aggregate limit increased to **$15M**
- General Liability coverage included
- Policy form changes from “claims made” to “occurrence” for Nursing & Pharmacy
- Effective date of 6/1/2019

#### Premium Comparison

<table>
<thead>
<tr>
<th>Insurer</th>
<th>Dental Students</th>
<th>Allied Health/Ancillary</th>
<th>Athletic Trainers</th>
<th>Nursing Students</th>
<th>Pharmacy Students</th>
<th>MD Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>ProAssurance</td>
<td>ProAssurance</td>
<td>Markel</td>
<td>CNA</td>
<td>Pharmacy Mutual</td>
<td>ProAssurance</td>
<td>ProAssurance</td>
</tr>
<tr>
<td>Term</td>
<td>7/15/18 – 7/15/19</td>
<td>10/10/18 – 12/1/19</td>
<td>1/26/19 – 1/26/20</td>
<td>8/15/18 – 8/15/19</td>
<td>8/15/18 – 8/15/19</td>
<td>6/1/19 – 6/1/20</td>
</tr>
<tr>
<td>Coverage Form</td>
<td>Claims Made</td>
<td>Claims Made</td>
<td>Claims Made</td>
<td>Occurrence</td>
<td>Occurrence</td>
<td>Claims Made</td>
</tr>
<tr>
<td>Limits</td>
<td>$1M Occ / $5M Agg</td>
<td>$1M Occ / $5M Agg</td>
<td>$1M Occ / $5M Agg</td>
<td>$1M Occ / $5M Agg</td>
<td>$1M Occ / $5M Agg</td>
<td>$1M Occ / $5M Agg</td>
</tr>
</tbody>
</table>

**INDIVIDUAL POLICIES**

<table>
<thead>
<tr>
<th>Expenses</th>
<th>Outside</th>
<th>Outside</th>
<th>Inside</th>
<th>Outside</th>
<th>Inside</th>
<th>Outside</th>
<th>Outside</th>
</tr>
</thead>
<tbody>
<tr>
<td>Premium</td>
<td>$3,000</td>
<td>$7,077</td>
<td>$6,006</td>
<td>$6,019</td>
<td>$14,693</td>
<td>$43,225</td>
<td>$70,445</td>
</tr>
</tbody>
</table>

**Blanket Premium: $63,000**

- $1M Occ / $3M Agg PER STUDENT
- $15,000,000 Policy Agg
## Premium Comparison & Savings by Program

<table>
<thead>
<tr>
<th>Program</th>
<th>Blanket Premium</th>
<th>Current Premium</th>
<th>Savings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dental Students</td>
<td>$2,361.91</td>
<td>$3,000.00</td>
<td>$638.09</td>
</tr>
<tr>
<td>Allied Health</td>
<td>$5,571.74</td>
<td>$7,077.00</td>
<td>$1,505.26</td>
</tr>
<tr>
<td>Athletic Trainers</td>
<td>$4,728.54</td>
<td>$6,006.00</td>
<td>$1,277.46</td>
</tr>
<tr>
<td>Nursing Students</td>
<td>$4,738.78</td>
<td>$6,019.00</td>
<td>$1,280.22</td>
</tr>
<tr>
<td>Pharmacy</td>
<td>$11,567.85</td>
<td>$14,693.00</td>
<td>$3,125.15</td>
</tr>
<tr>
<td>Medical Students</td>
<td>$34,031.18</td>
<td>$43,225.00</td>
<td>$9,193.82</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$63,000.00</strong></td>
<td><strong>$80,020.00</strong></td>
<td><strong>$17,020.00</strong></td>
</tr>
</tbody>
</table>
NEXT STEPS

Immediately:
- Risk Management will email area Budget Officers and program contacts for insurance renewals with copy of slides and additional details specific to their program. We will also request any necessary renewal information.

April:
- Programs should contact Risk Management prior to 4/15/19 if they would like further discussion about this transition.

May:
- Risk Management will communicate finalized premium information to departments.
  *Premium is based on moving all policies to the blanket. Cost savings may be reduced if not all programs participate in blanket policy.

June:
- Policy will begin June 1, 2019.
CONTACT US

430 Plaza Centre One

(319) 335-0010

risk-management@uiowa.edu or
emily-robnett@uiowa.edu

https://uiowa.edu/riskmanagement
HR 2020

TERRI HEIN, DIRECTOR UI PAYROLL TAX/ACCTG & BUDGET OFFICER, HUMAN RESOURCES
DAN SCHROPP, DIRECTOR UI PAYROLL OPERATIONS, HUMAN RESOURCES
Track-by-track progress

HR 2020 is organized into five interdependent tracks. The following reports summarize progress during February and March 2019 (see next page for overall timelines):

**Track 1: Payroll Department Realignment** (reorganize current Payroll staff into separate teams responsible for payroll and HR transactions)

- Focused on **defining staff needs** for specific functions
- Secured **temporary funding**
- Refined **org charts** for payroll and HR transaction teams
- Drafted job descriptions for **new temporary positions**
- Developed proposals for **transitioning select functions**
- Worked on **separating budget lines** for new teams

**Track 2: Transaction Service Redesign** (streamline the current service-delivery model to encourage specialization and reduce errors) *and*
**Track 3: Transaction System Enhancements** (enhance IT systems that support HR transaction services)

- Finalized **guiding principles**
- Established **four additional subcommittees** dedicated to information flow, metrics, pre-training, and retro accounting with charters and deliverables for each
- Continued development of **requirements workbook**

**Track 4: HR Service Delivery Redesign** (establish a central hub for reception and questions about payroll, HR transactions, benefits, and other HR services)

- Launched **issue tracking** for all UHR units
- Initiated **knowledge database** development

**Track 5: Welcome Center Construction** (renovate USB space to accommodate the new welcome center and enhance building security)

- Completed initial **technical committee tasks** and delivered specs to project architect
- Received **preliminary architectural drawings**
- Exploring **iPad check-in options**
<table>
<thead>
<tr>
<th>Track 1: Payroll Department</th>
<th>Task 1: Realign</th>
<th>Task 2: Team composition (95% complete)</th>
<th>Task 3: New departments (75% complete)</th>
<th>Task 4: Change management and implementation (0% complete)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Track 2: Transaction Service</td>
<td>Task 5: Pre-planning (100% complete)</td>
<td>Task 6: Service model design and reviews (15% complete)</td>
<td>Task 7: Pilot group implementation (0% complete)</td>
<td>Task 8: Phased campus implementation (0% complete)</td>
</tr>
<tr>
<td>Redesign</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Track 3: Transaction System</td>
<td>Task 9: Pre-planning (100% complete)</td>
<td>Task 10: System design, development, and testing (6% complete)</td>
<td>Task 11: Phased campus implementation (0% complete)</td>
<td>Task 12: Issue tracking (28% complete)</td>
</tr>
<tr>
<td>Enhancements</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Track 4: HR Service Delivery</td>
<td>Task 13: Knowledge database development (10% complete)</td>
<td>Task 14: Seasonality mapping (0% complete)</td>
<td>Task 15: Measurements and metrics (0% complete)</td>
<td>Task 16: Issue/case management software (0% complete)</td>
</tr>
<tr>
<td>Redesign</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Track 5: Welcome Center</td>
<td>Task 17: Initial meeting with Facilities Management (100% complete)</td>
<td>Task 18: Recommendations on construction needs (100% complete)</td>
<td>Task 19: Input, ideas, and finalized drawings (60% complete)</td>
<td>Task 20: Construction bids (0% complete)</td>
</tr>
<tr>
<td>Construction</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(All dates tentative)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
UTILITIES SYSTEM P3 EVALUATION

TERRY JOHNSON, CHIEF FINANCIAL OFFICER & TREASURER, FINANCE & OPERATIONS
OTHER UPDATES

- FINANCIAL SUB-CERTIFICATION 2.0
- FINANCIAL ACCOUNTS BI DASHBOARD

SELINA MARTIN, UNIVERSITY CONTROLLER, FINANCE & OPERATIONS
FSC 2.0 COMMITTEE

1. College of Engineering (April Tippett)
2. College of Pharmacy (Bill Wise)
3. College of Liberal Arts & Sciences (Erin Herting)
4. College of Medicine (Jason Haddy)
5. College of Public Health (Lori Cranston)
6. Student Life (Scott Seagren)
FINANCIAL SUB-CERTIFICATION 2.0

- Ethics ★
- Personnel & Payroll ★
- Cash Handling ★
- Reporting Financial Risk
- Recon of Assets & Liabilities
- Management of Non-cash Assets
- Purchasing & Travel
- Gift Accounts Process ★

- Restrictions by Sponsors
- Addressing Audit Issues
- Review of Financial Transactions
- Financial Systems/Process Training
- Service Center Rates ↓
- Use of University Resources ↓
- Sponsored Programs
OTHER IMPROVEMENTS

1. New FSC application (no more pdf form)
2. Workflow Routing (no need to send signature page)
3. Administrative Reports (status & consolidated reporting)
EFR PORTAL DASHBOARD – CONVERSION TO BI
CURRENT DASHBOARD

1. Select widget for org or department

2. Scroll thru Dashboard.....by specific org or dept.
“FINANCIAL ACCOUNTS DASHBOARD”
(BI DASHBOARD IN SSRS PLATFORM)

1. Select your parameters

2. View your Dashboard.....

- Consolidated on a single screen
- No more scrolling
OTHER UPDATES

FY 2020 Fringe Rates Negotiations

HR & Business Conference

Business Processes Series

Upcoming Quarterly Meeting Topics
2019 QUARTERLY BUSINESS OFFICERS MEETINGS

2019 MEETINGS

1st Quarter
February 4th, 3:00-5:00, S401 PBB

2nd Quarter
March 28th, 10:00-12:00, S401 PBB

3rd Quarter
June 13th, 9:00-11:00, W401 PBB

4th Quarter
October 24th, 9:00-11:00, CDD, Remboldt