I. University Updates – Terry Johnson
II. Mid-year Salary Setting Application – Mike Kaplan & Trevor Glanz
III. Oracle PBCS Implementation Updates – Mary Ann Allan
IV. Internal Audit Findings – Patrice Sayre
V. Payment Determination Guidelines – Terri Hein
VI. New WhoKey Administration Application – Carolyn Gritton & Tammy Buchmayer
VII. Facilities Management Update – Lynne Finn
UNIVERSITY UPDATES

- Public Private Partnership (P3)

- University Budget
MID-YEAR SALARY SETTING APPLICATION

MIKE KAPLAN & TREVOR GLANZ, DIRECTOR ADMIN SYSTEMS, INFORMATION MGMT/HR, DIRECTOR COMPENSATION/CLASSIFICATION & DATA MANAGEMENT, ITS AND HR, COMP & CLASS
Timeline

- Senior HR Leaders/Business Officers: Application Refresh Training
  - November 18th; 2 - 3 p.m. (112 USB)
  - November 20th; 10 – 11 a.m. (112 USB)

- Communication Reminder to Senior HR Leaders/Business Officers
  - December 2nd

- Application Opens: 8:00 a.m. on Wednesday, December 4th

- Application Closes: 5:00 p.m. on Monday, December 16th
ORACLE PBCS IMPLEMENTATION UPDATE

MARY ANN ALLAN, DIRECTOR BUDGET PLANNING & ANALYSIS, FINANCE & OPERATIONS
CURRENT BUDGET PROCESS: CEA BUDGET MODEL

- **April:** Collegiate Units provide revenue and financial aid estimates
- **May:** Budget Review Board Meeting:
  - Final decision on central service advisory committee funding requests for next fiscal year
  - Review next year’s CEA that incorporates revenue and expense estimates from collegiate units
- **June:**
  - State Appropriations finalized
  - *Units complete budgets and salary posting within UI Salary and Budget Application*
- **July:** Finalized budgets submitted to Board of Regents
- **Ongoing:** Budget reallocations completed, as needed, in web budget management application
CURRENT BUDGET PROCESS – UNIT LEVEL BUDGETS

- Annual process
  - Typically completed over 2-week period in June

- Primary focus:
  - Balancing GEF and other appropriated funds
  - Posting 7/1 salary funding

- Minimal reporting throughout the year (budget v. actual)

- Required budgeted expense to equal allocation for appropriated funds

- Benefits:
  - Position level budget management
  - Allowed salary posting and budgeting timelines to align
WHAT CHANGES WITH NEW BUDGET SYSTEM?

- **Reporting:**
  - Interfaces with PeopleSoft GL and PeopleSoft HR will allow for ongoing management of financials throughout the fiscal year.

- **Strategy:**
  - Allows units to update current year forecast with known changes throughout the budget year.
  - Enables scenario modeling to aid in financial decisions
  - Projections beyond one year in later phases of system implementation

- **Workforce Budgeting:**
  - Workforce module will allow for budgeting at a position level
  - Will integrate with PeopleSoft HR to monitor changes from plan vs. actuals
  - Budget system will no longer drive HR records
  - Salary posting will be completed within HR system

- **All Funds Budgeting:**
  - MFK Level of Budgeting
MFK LEVEL OF BUDGET

- **Master File Key (MFK)**
  - Fund
  - Org
  - Dept/Subdept
  - Grant/Program
  - Iact
  - Dact
  - Fn
  - Cost Ctr
  - BRF

<table>
<thead>
<tr>
<th>Fund</th>
<th>Org</th>
<th>Dept/Subdept</th>
<th>Grant/Program</th>
<th>Iact</th>
<th>Dact</th>
<th>Fn</th>
<th>Cost Ctr</th>
<th>BRF</th>
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<td>XXXX</td>
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<td>XXXX</td>
<td>XX</td>
</tr>
</tbody>
</table>

- **Detailed level in PBCS**
  - Fund
  - Org
  - Department/Subdepartment
  - Institutional Account (detail for personnel expense and categories for revenue and non-personnel expense)
  - Organizational and Departmental Accounts (O & D Accounts)
  - Function

- **Level of detail for components below determined by Business Officer**
  - Grant Program
  - Cost Center

- **Not included in Budget**
  - Budget Reference Field
BENEFITS OF NEW BUDGET SYSTEM

- Provides one central repository for units to enter and monitor budgets
- Allows units to forecast the current fiscal year to adjust for changes in circumstances that may not have been included in initial budget
  - Example: Faculty member awarded a new grant, reducing funding need from GEF, allowing for investment in another initiative.
- Standard reporting to monitoring budget v. actual and revised forecast v. actual
- Increased visibility to expenses to allow units to identify where gaps may exist between actuals and the budget plan
- Data that is readily available and flexible will aid in central and unit level decision-making
<table>
<thead>
<tr>
<th>Dates</th>
<th>Parties Involved</th>
<th>Task</th>
</tr>
</thead>
</table>
| August 26 – September 13 | • Performance Architects  
                          • Budget Implementation Core Team  
                          • Business Officers  
                          • Human Resources  
                          • ITS      | • Define requirements meetings  
                               • Rename of system:  
                                  • IPlan (Gordon Tribbey)       |
| October 1 – October 4   | • Performance Architects  
                          • Budget Implementation Core Team  
                          • Business Officers  
                          • ITS      | Level of Budget discussion and feedback |
| September – October     | • Performance Architects  
                          • Budget Implementation Core Team  
                          • ITS  
                          • Controller’s Office  | • Design solution  
                               • UI Data Preparation  
                               • Process review       |
## NEXT STEPS

<table>
<thead>
<tr>
<th>Dates</th>
<th>Parties Involved</th>
<th>Task</th>
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</thead>
</table>
| October 7 – November 8       | • Performance Architects  
• Budget Implementation Core Team  
• Others *(as needed for feedback)*                                | IPlan System Build               |
| November 12 - 14             | • Performance Architects  
• Budget Implementation Core Team  
• Business Officers                              | IPlan User Acceptance Testing     |
| Week of November 18          | • Performance Architects  
• Budget Implementation Core Team                                           | Finalize System                   |
| November 25                  | • Performance Architects  
• Budget Implementation Core Team                                           | Deploy IPlan Solution             |
| TBD (Close to budget system  | • Budget Team  
• IPlan System Users                                        | End User Training                 |
| open date)                   |                                                                                 |                                   |
| TBD – Future Phases          | • Performance Architects  
• Budget Team                                                  | Budget Reallocations  
CEA  
Long Range Planning               |                                   |
ANY QUESTIONS?
INTERNAL AUDIT FINDINGS

PATRICE SAYRE, CHIEF AUDIT EXECUTIVE, INTERNAL AUDIT
UI INTERNAL AUDIT TEAM

Debra Johnston, MBA, CIA, CISA, CFE  
Associate Director

Chad Sharp, MBA, CIA, CISA  
Audit Manager

Kip Druecker, CPA, CISA  
IT Auditor

Lindsey Schmidt, MA  
Auditor

Debra Johnston, MBA, CIA, CISA, CFE  
Associate Director

Patrice Sayre, M.Acc, CPA, CIA  
Chief Audit Executive

Board of Regents, State of Iowa

Chad Sharp, MBA, CIA, CISA  
Audit Manager

Doug Land, CFE  
Auditor

Julie Appleget, CIA, CISA  
Auditor

Josh Randall  
Auditor

James Pitcher, MBA, CPA  
Senior Auditor

Renae Miller  
Departmental Admin

Sam Wallace, M.Acc  
Auditor

Terry Gromacki, CISA  
IT Auditor

Kip Druecker, CPA, CISA  
IT Auditor

Lindsey Schmidt, MA  
Auditor

Debra Johnston, MBA, CIA, CISA, CFE  
Associate Director

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Audit Manager

Doug Land, CFE  
Auditor

Julie Appleget, CIA, CISA  
Auditor

Josh Randall  
Auditor

James Pitcher, MBA, CPA  
Senior Auditor

Renae Miller  
Departmental Admin

Sam Wallace, M.Acc  
Auditor

Terry Gromacki, CISA  
IT Auditor
INTERNAL AUDIT APPROACHES

- Risk-based approach used for audit selection and fieldwork testing.
- Consider specific requests from the Board of Regents (BOR) or senior leaders.
- Use an established transparent audit methodology based on Institute of Internal Audit standards.
- Quality Assurance Review in fall of 2017 = Generally Conforms rating.
- Business and operational processes, information technology, compliance with various rules/regulations and fraud work.
## FY 2019 AUDIT PROGRESS

<table>
<thead>
<tr>
<th>Audits:</th>
<th>SUI</th>
<th>ISU</th>
<th>UNI</th>
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<td>Original Audits Planned</td>
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<td>17</td>
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<td>74</td>
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<tr>
<td>Added During Year</td>
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<tr>
<td><strong>Totals</strong></td>
<td>54</td>
<td>17</td>
<td>9</td>
<td>80</td>
</tr>
<tr>
<td>Completed</td>
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<tr>
<td>Completed</td>
<td>28</td>
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<td>In Progress</td>
<td>10</td>
<td>3</td>
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<tr>
<td>Deferred</td>
<td>5</td>
<td>2</td>
<td>2</td>
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<td>Cancelled</td>
<td>11</td>
<td>3</td>
<td>3</td>
<td>17</td>
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<tr>
<td><strong>Totals</strong></td>
<td>54</td>
<td>17</td>
<td>9</td>
<td>80</td>
</tr>
</tbody>
</table>
DEPARTMENTAL AUDITS

1. Business Planning and Practices
2. Financial Management
3. Compliance and Internal Controls
4. Human Resources
5. Information Technology
6. Inventory and Capitalized Equipment
7. Revenue Cycle and Funding Streams
Documented business continuation and disaster recovery plans

Up-to-date operations manual
FINANCIAL MANAGEMENT

- Financial statement review
- Outdated or no contracts / insufficient contract approvals
- Unmonitored departmental budgets
- Timely reconciliations
- Price-setting methodology

✔ Goods or services
FINANCIAL MANAGEMENT

- Oversight and use of procurement card
- Inappropriate transaction approvals
- Trips are not approved in advance
- Cash handling procedures
  - Inadequate gift card processes
  - Checks not deposited timely
  - Outdated cash handling policies/approvals
- Excessive or unauthorized building access

- Segregation of duties
  - Incompatible purchasing duties

- Outdated policies and documents
HUMAN RESOURCES

- Time tracking and leave reporting
- Staff training – various areas
- Orientation/termination checklists
- Adequate staffing levels
INFORMATION TECHNOLOGY

- System access controls
- Server vulnerability scans
- Noncompliant password protocols
- Machine management
- Inadequate change management procedures
Inventory and supply management

- Inaccurate and missing inventory
- Inventory procedures / inadequate monitoring
- Unrestricted access to inventory
REVENUE CYCLE AND FUNDING STREAMS

- Excessive charge lag
- Missed/inefficient billing
- Denial management
- Charge capture – billing
- Hospital late charges causing rework
REVENUE CYCLE AND FUNDING STREAMS

- Inefficient scheduling
- Key metrics and tracking are not streamlined
# FY 2020 Audit Plan

<table>
<thead>
<tr>
<th>Audits and Reviews</th>
<th>Hours</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anesthesia</td>
<td>250</td>
<td>1.4%</td>
</tr>
<tr>
<td>Biology Carry Over</td>
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</tr>
<tr>
<td>Central Sterilizing Services</td>
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</tr>
<tr>
<td>Charge Master Maintenance Process</td>
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<tr>
<td>College of Dentistry Revenue Cycle</td>
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<tr>
<td>College of Engineering</td>
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<td>1.4%</td>
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<tr>
<td>College of Pharmacy Building Construction Project</td>
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<tr>
<td>Conflict of Interest</td>
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<tr>
<td>Discharge Planning Process/Nurse Navigator</td>
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<tr>
<td>Division of Diversity, Equity, and Inclusion</td>
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<tr>
<td>Emergency Department</td>
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<tr>
<td>Epic Financial Assistance Module</td>
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<tr>
<td>Facilities Management Bidding Processes Carry Over</td>
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<td>Home Game Ticket Revenue FY19 Carryover</td>
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<tr>
<td>Home Game Ticket Revenue FY20</td>
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<td>HR Transaction System Rewrite Consultation</td>
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<td>Heart and Vascular Center</td>
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<tr>
<td>Iowa Advanced Technologies Laboratory (IATL) Building IT Support</td>
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<tr>
<td>Institutional Review Boards Carry Over</td>
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<tr>
<td>Iowa Electronic Markets Carry Over</td>
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<td>Main OR Utilization/Ambulatory Surgery Center/Children’s Hospital</td>
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<td>NCAA Compliance - Camps and Clinics Carryover</td>
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<tr>
<td>NCAA Compliance - Eligibility Amateurism and Academic Performance</td>
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<td>NCAA Compliance - General Compliance</td>
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<td>Neurology Sleep Lab</td>
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<td>Office of Fraternity and Sorority Life</td>
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<tr>
<td>Oracle Talent Acquisition Cloud (OTAC)</td>
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<td>Pharmacy Inventory</td>
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<td>Pharmacy Pre-Auths Carry Over</td>
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<td>UIHC Facility Preventive Maintenance Processes Carry Over</td>
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<td>University Billing Office</td>
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<tr>
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<tr>
<th>Other Audit Responsibilities</th>
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<td>Administration</td>
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<tr>
<td>Committee Participation</td>
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<tr>
<td>Performance Evaluations</td>
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<tr>
<td>Professional Development</td>
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<tr>
<td>Staff Meetings</td>
<td>724</td>
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<tr>
<td><strong>Subtotal</strong></td>
<td><strong>4,791</strong></td>
<td><strong>26.1%</strong></td>
</tr>
</tbody>
</table>

| **Total** | **18,360** | **100.0%** |
FRAUD

Be on the lookout for:

- Faculty who have their own business
- Significant change in behavior
- Delivery of goods to someone’s home
- Procurement card usage
- Time and attendance accuracy
- Cash handling (SOD)
- Diversion of any kind of inventory
FRAUD TRIAGE COMMITTEE

- Josey Bathke
- Deb Johnston
- Shari Lewison
- Selina Martin
- Carroll Reasoner
- Patrice Sayre
- Shelley Stickfort
- Doug Vance
- Lucy Wiederholt
- Debby Zumbach
Seven individuals face arrest warrants from the Ingham County Prosecutor’s Office for 22 counts of fraudulent claims of more than $527,000 in connection with the fund set up to assist victims of pedophile Larry Nassar.

MSU established the $10 million Healing Assistance Fund in December 2017 as outrage was spreading about Nassar’s sexual abuse of athletes under the guise of medical treatment. The fund was intended to provide mental health services for victims and their family members.

In July 2018, the university suspended the fund, saying it had found evidence of fraud that did not involve victims or family members.

In a press release Wednesday, the MSU Police Department said it had received information about the fraudulent reimbursements in fall 2018. After a review of invoices, officials discovered the fraudulent payments.

“We appreciate MSUPD for being very thorough in its investigation of the reported fraud,” university spokeswoman Emily Guentrant said. “The Healing Assistance Fund was established in January 2018 to help survivors access mental health and counseling services, and the university remains committed to providing this support. The Board of Trustees continues to work on finalizing a new fund; in the meantime, the intermediate fund is still available.”

The MSU Healing Fund was a source of contention in the months before the departure of former interim MSU President John Engler.

In December 2018, Engler announced the fund was canceled, saying it had been rolled into the remaining $8.5 million of the historic $500 million settlement negotiated with attorneys for Nassar’s victims.

In January 2019, during the first board meeting that ushered in a slate of new MSU trustees, the board directed the administration to resurrect a fund for counseling assistance for victims.
UMN’s Former Ticketing Director Charged In Ticket Fraud Scheme

By Reg Chapman  November 6, 2018 at 3:03 pm  Filed Under: Brent Holck, Ticket Fraud Scheme, University Of Minnesota, Wire Fraud

MINNEAPOLIS (WCCO) – The former head of sports ticket sales at the University of Minnesota has been charged in a ticket fraud scheme.

In June of 2017, WCCO first reported that the FBI was investigating the alleged fraud case that was believed to have been going on for years.

Brent Holck, 37, was charged with wire fraud.

A probe by the University of Minnesota’s Office of Internal Audit discovered discrepancies in ticket transaction records.

"In essence, we had tickets that were distributed for Gopher events and we had tickets that were used, but the revenue wasn't tying back to those tickets," said Mark Coyle, University of Minnesota athletic director.

The University of Minnesota said Brent Holck was later fired. Investigators say the scheme was complex.

According to a criminal complaint, Holck would look for and find completed sales in the university's ticketing system, usually after a game was over. He would then allegedly delete those orders and have refunds issued to accounts that were under his control.

Investigators say Holck also issued tickets and parking passes to personal or business acquaintances, who sold those tickets and gave the majority of the money to Holck.

"My client has been taking responsibility for this all along," said Peter Wold, Holck’s attorney. "He intends to plead guilty and is working toward making restitution."

Wold said he has not been told how much money came to Holck from his activities.

According to the University of Minnesota, no fan lost any money as a result of Holck's scheme. The university says improvements have been made to the ticket distribution system for better control.

Holck’s first court appearance is set for Nov. 14.
Audit: University of Iowa dental college staffer misspent $57,000

UI vows commitment to ‘fiduciary responsibility’

IOWA CITY — The University of Iowa has shored up its training and procurement practices after discovering a College of Dentistry administrative specialist amassed $57,333 in improper and unsupported spending on things like bath bombs, essential oils, luggage, iPad and camera equipment, and a canning system.

The Iowa State Auditor’s Office began investigating spending in the college’s Department of Periodontics for the period between Aug. 1, 2012 and Aug. 31, 2016 after UI officials flagged potential improper transactions, according to a report made public Thursday.

The suspect spending involved Amanda Shumaker, hired as the department’s administrative specialist on Aug. 27, 2012. Among her responsibilities, Shumaker bought the college’s books and supplies and arranged travel for staff. She had access to a university Procurement card with a spending limit of $10,000 a month and a director Pcard capped at $4,000 a month, according to the audit.

Amid tightening budgets and Board of Regents demands its campuses run more efficiently, UI in 2015 developed a new Shared Services Department focused on trimming administrative costs, minimizing redundancies, improving policy compliance, and reducing errors. That department assigned staff to specific colleges, including the College of Dentistry in June 2016.

During a routine review of purchases in July 2016, Shared Services flagged a mismatch in what Shumaker said she bought and what the vendors said she got. Specifically, Shumaker reported purchasing textbooks but actually bought clothes, according to the audit.

Investigators suspect Shumaker had been doctoring documents to hide her personal use of university money for years.

UI placed her on administrative leave Aug. 1, 2016, and she died at age 34 on Aug. 20, 2016, according to the Scott County Medical Examiner’s Office. No criminal charges were filed against Shumaker before her death, according to online court records.
ETHICS

- The University of Iowa recognizes its obligation to maintain the highest ethical standards.
- Policy compliance is a shared responsibility that depends on individuals voicing their concerns.
The Ethicspoint site provides an anonymous, confidential way to report potential issues.

The university will address reports promptly and discreetly, sharing facts only with personnel needed to investigate and resolve the matter.

Go to https://uiowa.edu/ethics for more information.
THANK YOU!

For more information on the Office of Internal Audit, please visit our website at https://uiowa.edu/audit/
PAYMENT DETERMINATION GUIDELINES

TERRI HEIN, DIRECTOR OF UI PAYROLL TAX/ACCTG & BUDGET OFFICER, HR, PAYROLL
# THE UNIVERSITY OF IOWA

**PAYMENT DETERMINATION GUIDELINES TO US CITIZENS**

GUIDELINES INCLUDE PAYMENTS TO US CITIZENS (CONSULT WITH PAYROLL SERVICES FOR PAYMENTS TO NON-US CITIZENS)

<table>
<thead>
<tr>
<th>Fellowship Stipends</th>
<th>Scholarships *Includes Student Summer Stipends</th>
<th>Reimbursement of Educational Related Expenses</th>
<th>Employee Compensation</th>
<th>Student Stipends</th>
<th>Student Travel (University Business Related)</th>
</tr>
</thead>
</table>

### Definition:
- **Payments to an individual** for the purpose of furthering their education, training or research.
- **Payments to an eligible U of I student** for the purpose of furthering their education.
- **Payments to an eligible student** for reimbursement of fees or other related expenses.
- **Payments made to an employee** for services performed.
- **Payments to an eligible student** for the purpose of furthering their education, training or research.
- **Reimburse an eligible student for travel expenses**

### Must the recipient be an enrolled student at the University of Iowa?
- **No** - If UI Student, preferred method is to pay as scholarship
- **Yes**
- **No**
- **No**
- **No**

### What’s the primary purpose of the payment?
- **Further the individual’s education, research or training.**
- **Further the student’s education or training.**
- **Further the student’s degree completion.**
- **Compensate the employee for services rendered to benefit the University.**
- **Further the student’s education or training.**
- **Support University business**

### Are services required in exchange for payment?
- **No**
- **No**
- **No**
- **Yes**
- **No**
- **No**

### Who primarily controls the activity for which payment is made?
- **Fellowship recipient**
- **Student recipient**
- **Faculty**
- **Supervisor**
- **Faculty**
- **Faculty**

### Through which system is the payment processed?
- **HR Transaction System**
- **MAUI Scholarship Workflow**
- **Accounts Payable (as non-services eVoucher)**
- **HR Transaction System**
- **Accounts Payable (services eVoucher - Type Stipend)**
- **Accounts Payable Travel Expense Voucher**
# THE UNIVERSITY OF IOWA
## PAYMENT DETERMINATION GUIDELINES TO US CITIZENS
**GUIDELINES INCLUDE PAYMENTS TO US CITIZENS (CONSULT WITH PAYROLL SERVICES FOR PAYMENTS TO NON-US CITIZENS)**

<table>
<thead>
<tr>
<th>Fellowship Stipends</th>
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</tr>
</thead>
<tbody>
<tr>
<td>What is the payment frequency?</td>
<td>Typically paid in equal installments throughout the program period.</td>
<td>Paid during the semester it was awarded to offset tuition balance, with remaning amount paid through UI Billing Office.</td>
<td>Typically paid in lump sum.</td>
<td>Paid in accordance with the regular payroll cycle.</td>
<td>Typically paid in lump sum.</td>
</tr>
<tr>
<td>Is fringe assessed on the payment?</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Which IACT's should be utilized?</td>
<td>5610 or 5620</td>
<td>6340</td>
<td>6340</td>
<td>5XXX</td>
<td>6241</td>
</tr>
<tr>
<td>Is the payment amount included in the individual's financial aid package?</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Is the University required to submit tax reporting to IRS?</td>
<td>No, recipient is responsible for determining tax liability.</td>
<td>Yes, reported on IRS Form 1098T.</td>
<td>No</td>
<td>Yes, reported on IRS Form W-2.</td>
<td>No, recipient is responsible for determining tax liability</td>
</tr>
</tbody>
</table>
THE UNIVERSITY OF IOWA
PAYMENT DETERMINATION GUIDELINES TO US CITIZENS
GUIDELINES INCLUDE PAYMENTS TO US CITIZENS (CONSULT WITH PAYROLL SERVICES FOR PAYMENTS TO NON-US CITIZENS)

Additional items to note:

1. These guidelines are not all inclusive. Determination is based on specific facts and circumstances. Each program/instance must be determined individually.

2. If it is not clear which payment type to process, contact University Payroll @ payroll-web@uiowa.edu for additional guidance.

3. Payments must be paid consistently to all program participants -- cannot treat recipients differently based on immigration or other status.

4. These guidelines do not apply to prizes.
NEW WHOKEY ADMINISTRATION APPLICATION

CAROLYN GRITTON, ASSISTANT DIRECTOR OF FINANCIAL SYSTEMS, AFR, CONTROLLER’S OFFICE
TAMMY BUCHMAYER, SENIOR BUSINESS ANALYST, AFR, CONTROLLER’S OFFICE
WK ADMIN - PROJECT TEAM & STAKEHOLDERS CONTACTED

- Team members:
  - AFR
  - FBIS

- Feedback solicited:
  - GAO
  - Campus:
    - CLAS
    - COED
    - COENG
    - HEALTHCARE FINANCE
    - COPH
WK ADMIN – REASONS FOR REWRITE

- 10+ year old Cold Fusion application, convert to .NET platform
- Improve campus user experience:
  - Simplify navigation
  - Standardize look & feel for text, icons & colors with other AFR newer applications
- Improve data stewards & developers experience:
  - Reduce application production support efforts
  - Increase application stability
  - Add central administrative roles
- Improve search functionality & results, easier to identify accounts to cleanup (all users)
Access automatically granted to active employees with Financial Reporting (AFR) role:

- Institutional roles
- WhoKey roles
- AFR Transactional applications roles (EFTx)
- Financial Reporting (AFR) applications by itself (rare)

Application accessible: same as currently - Self Service link & EFR Portal, Account Maintenance tab
WK ADMIN – WHAT IS THE SAME

Port current core functionality, including:

- **Assign/update WhoKey roles & Purpose** - based on roles & business rules
- **View accounts you have assigned roles for:**
  - My Assigned WhoKeys (WhoKey roles)
  - My Org/Dept/Subdept WhoKeys (Institutional roles)
- **Search for any Open or Closed WhoKeys**
- **Identify accounts with Unassigned Roles**
- **Ability to download search results to Excel**
WK ADMIN – WHAT HAS CHANGED

Fix critical issues & implement improvements:

- **Navigation & Search:**
  - Add dashboard to quickly view accounts that need attention (E.g. Unassigned Roles and Purpose)
  - Improve layout, navigation & data:
    - Add Chartfield wildcarding
    - More efficient to facilitate account cleanup
      - Add Inactivate button for Closed non-grant accounts
    - Add Inactive accounts (view-only)
    - Add Unassigned Purpose report
  - Discontinue GLDSS WhoKey Listing report
WK ADMIN – WHAT HAS CHANGED

Fix critical issues & implement improvements:

- **Update Secondary Reviewer roles & rules applied:**
  - Cannot be same as Owner/PI or Reviewer
  - Allow to submit Close Account requests
  - Increase # roles from 2 to 4 (implement changes to CF/WK application and TDR's)

- **Require Purpose**

- **Exclude Fund 900 accounts**
WK ADMIN – WHAT HAS CHANGED

Fix critical issues & implement improvements:

- Improve Person search & data displayed for a Person:
  - Standardize data sources used
  - Add drill to view person attributes (E.g. UI classification, Department# & description, HawkID, EmpID, UnivID)
  - Add new controls & error messages (E.g. Throw error message if assigned Reviewer is not active employee)

- Improve Term/Transfer process - business rules, jobs & notifications:
  - Improve business rules
  - Improve email notification content & only send to Department Admins
  - Ability to proactively assign WhoKey roles to a person before their HR transfer effective date
Fix critical issues & implement improvements:

- Improve Mass Change process:
  - Separate tab & clearly indicated options
    - Replace a Person
    - Assign an Owner, Reviewer or Secondary Reviewer
    - Remove a Secondary Reviewer
  - Flexible filters
  - Step-by-step process
  - Clear identification of action taken & process complete
  - No limit on # of records updated
  - Available initially only to Business Officers & Admin Delegates
**WK ADMIN – WHAT HAS CHANGED**

**Fix critical issues & implement improvements:**
- Submit/Maintain Alternate Reconciliation Procedure moved to EFR (Aug 2019)
- Publish comprehensive User Manual
WK ADMIN – APPLICATION INTEGRATIONS

- **ePost** for grant roles, synch hourly
  - Synch individual accounts still available
- **PeopleSoft GL**
- **Institutional Roles**, synch nightly
  - Business Officers & Research Admins
- **TDR** – current and historical
WK ADMIN – STATUS & CONTACTS

- Testing in-process by AFR & GAO
- Projected campus go-live December, 2019
- Transition Reviewer & Secondary Reviewer roles to 5 Reviewer roles:
  - TBD – include with future EFR rewrite project
  - No separate Reviewer & Secondary Reviewer roles
  - No hierarchy between 5 roles
  - One Reviewer role of the 5 required for non-grant accounts (optional for grant accounts)

Questions?
- Contact Tammy Buchmayer, Carolyn Gritton or email as-efr@uiowa.edu
Facilities Management Business Units

Building and Landscape Services
Utilities
Design and Construction

Each with unique services, funding platforms and recovery rate structures
Facilities Management Business Units

Building and Landscape Services
Utilities
Design and Construction

Each with unique services, funding platforms and recovery rate structures
Building and Landscape Services
Custodial ~ Building Operations ~ Landscape

- Leadership
- Organizational structure
- Integration and Operational Effectiveness
- Maximizing CMMS capabilities
- Focus on planning
- Three Year Plan

Total Budget $48M
Planning Principles of Three Year Plan:

- Support UI’s core mission and strategic plan
- Provide budget certainty to other UI budgeting efforts
- Transparency and partnership with those we serve
- Refine and redefine what’s valued by those we serve
- Reposition the organization for a changing future
Strategies of Three Year Plan:

1. Automate manual activities to reduce resourcing requirements
2. Increase productivity in service delivery systems and stewardship efforts
3. Realign non-core services and activities to appropriate UI budgets and define tighter service levels.
4. Explore strategic sourcing of niche services
5. Manage fuel cost fluctuations and increase plant operating efficiency
6. Staff to meet new technological and industry challenges
7. Harness technology and data analytics to identify cost reduction opportunities
8. Restructure Opening New Building Requests
9. Restructure Oakdale Campus into a stand-alone facilities operation
FY20 Budget

Commitment #1
Offset salary, wage and benefit increases plus 5% overall reduction.
Effective reduction is 8.5% ($3M) through the combination of cost reduction and cost avoidance.

Commitment #2
Freeze utilities rates
Enablers

1. Lock in FM’s budget reduction targets and exempt from additional reductions through the FY20 budget
2. Restore building renewal funding to pre-FY16 levels
3. Support using GEF reserves for retooling the organization and bridging to lowering operating costs
4. Support using Utilities Enterprise reserves, and shifting institutional financial risk, to enable the freezing of utilities rates under the plan
5. Employing strategic human resources management
Three Year Budgets *

*Values normalized for new service areas

12 fte reduction

5.48%
Only GEF FTES

$2.08 to $1.90 per square foot
Three Year Plan Budgets *

*Values normalized for new service areas

Landscape Services

2 fte reduction

6.86%
Only GEF FTES
$.40 to $.36 per square foot
Three Year Plan Budgets *

*Values normalized for new service areas
Three Year Plan Budgets *

Total of $3,100,000 voluntary budget reduction
All efficiencies, no change in service level

*Values normalized for new service areas
Three Year Plan Budgets *

Total of $3,100,000 voluntary budget reduction
All efficiencies, no change in service level

*Values normalized for new service areas
How Maintenance Work is Performed

Building and Landscape Services Customer Survey 2015

- Work is performed courteously and professionally
- Work is performed in a timely and responsive manner
- Work meets my expectations

Rarely | Sometimes | Often | Always | Not Applicable

How Maintenance Work is Performed

Building and Landscape Services Customer Survey 2019

- Work is performed courteously and professionally
- Work is performed in a timely and responsive manner
- Work meets my expectations

Rarely | Sometimes | Often | Always | Not Applicable
Commitment #1

Offset salary, wage and benefit increases plus 5% overall reduction.
Effective reduction is 8.5% ($3M) through the combination of cost reduction and cost avoidance.

Commitment #2

Freeze utilities rates

Budget Reduction & Organizational Repositioning
Three Year Plan Plus

- Transparency
- Customer driven services
- Verified performance – optimized service delivery at defined levels
- Data and definitions for choices
- Positioned for scalable service levels
Our Vision for the Future

• Leaner organization focused on UI’s core mission
• Actively engaged partner with collegiate deans
• Adhering to tighter and better-defined service levels, but flexible enough to customize services
• Fully transparent costing of services and stewardship
• Systems thinking approach to all our efforts
• A “best practices” organization in step with change
NEXT YEAR’S QUARTERLY MEETINGS....

2020 MEETINGS

1st Quarter
January 28th, 9:00-11:00, W401 PBB

2nd Quarter
March 26th, 9:00-11:00, CDD, Remboldt

3rd Quarter
June 23rd, 9:00-11:00, W401 PBB

4th Quarter
October 8th, 9:00-11:00, CDD, Remboldt

From every org-level

Business Officer