



# Financial Management Meeting

December 11, 2018



# Agenda

Welcome & Introductions	Dan Langer	5 minutes
Facilities Planning and Management System Assetworks	Jam Rivetna	25 minutes
Catering Policy	Dave Brinkmeier/ Doreen Forslund	15 minutes
9.2 Tuition Remission Changes	Lea Erickson	15 minutes
Custodian Funds System Reconciliations	Rochelle Cushman/ Sara DeMuri	20 minutes
Replenishable Debit Card	Liv Goff	5 minutes
Stale Dated Checks Update	Liv Goff	5 minutes
DP/PIR Form	Jennifer Roltgen	10 minutes
Disbursement Audit	Rusty Haines	10 minutes
UW System Official Events Policy & UW-Madison Draft Guidelines	Rusty Haines	10 minutes

# FP&M Software Replacement

Jam Rivetna  
FP&M Physical Plant  
rivetna@wisc.edu



Current Software: FME, FacilityFocus

New Software: AiM by Assetworks  
*ReADY* customer interface

Start-up Date: July 1, 2019

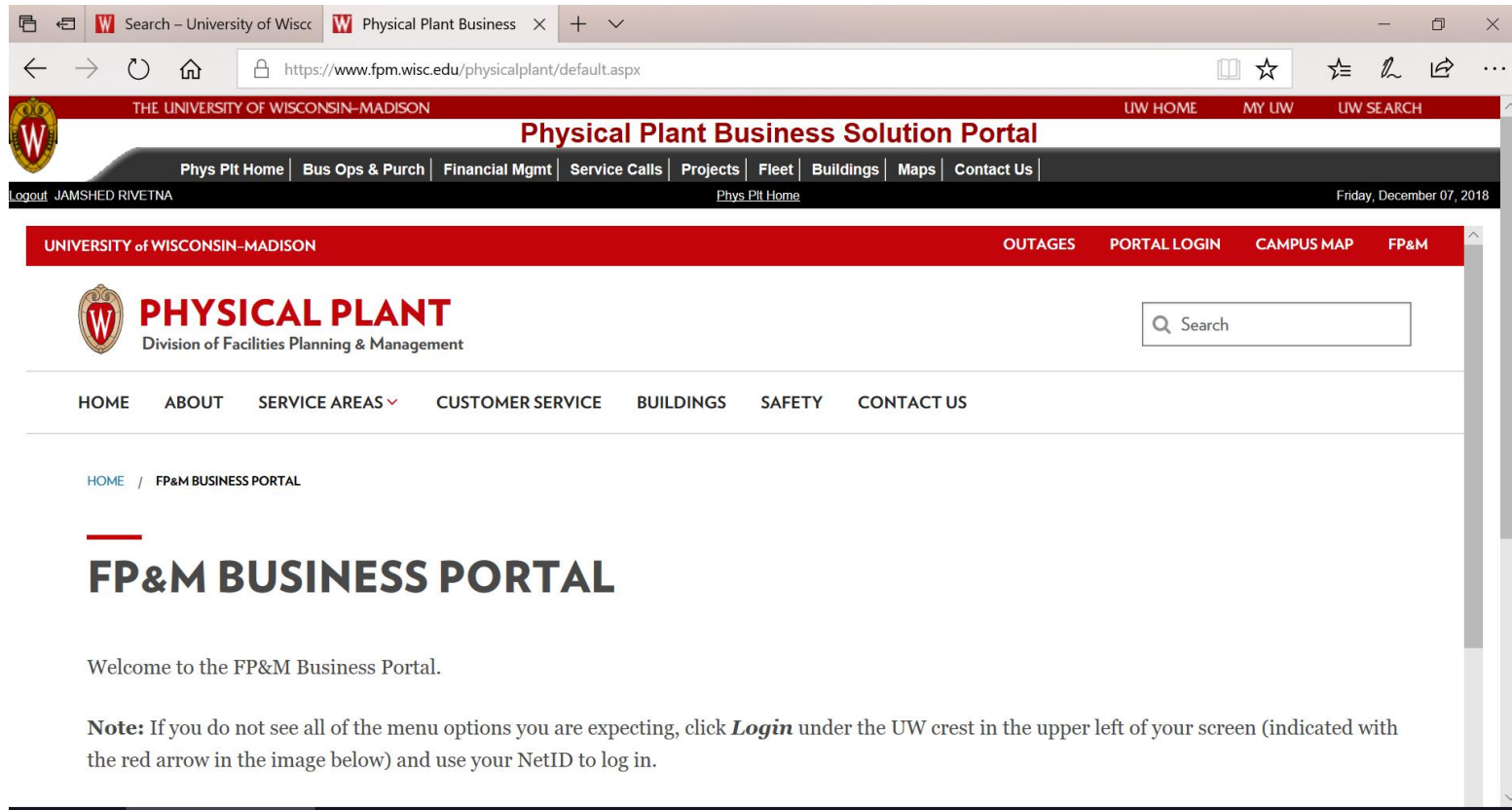
**Assetworks Functionality**

- Work orders
- Project
- Space management

# Relevant Related Systems

- Financial Management Portal
- Work Order Portal
- WISDM
- SFS
- Business Services
- Others ???

## Financial Management Meeting

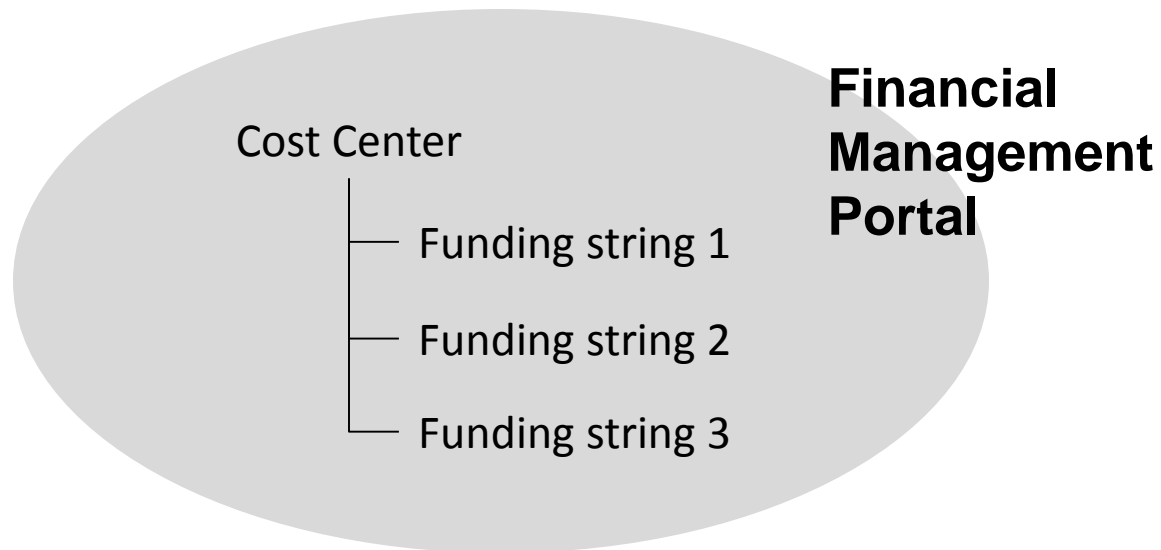


All of this will be discontinued except  
Financial Management

# A significant change...

Assetworks software will be setup to use funding strings, not cost centers, for work requests and projects.

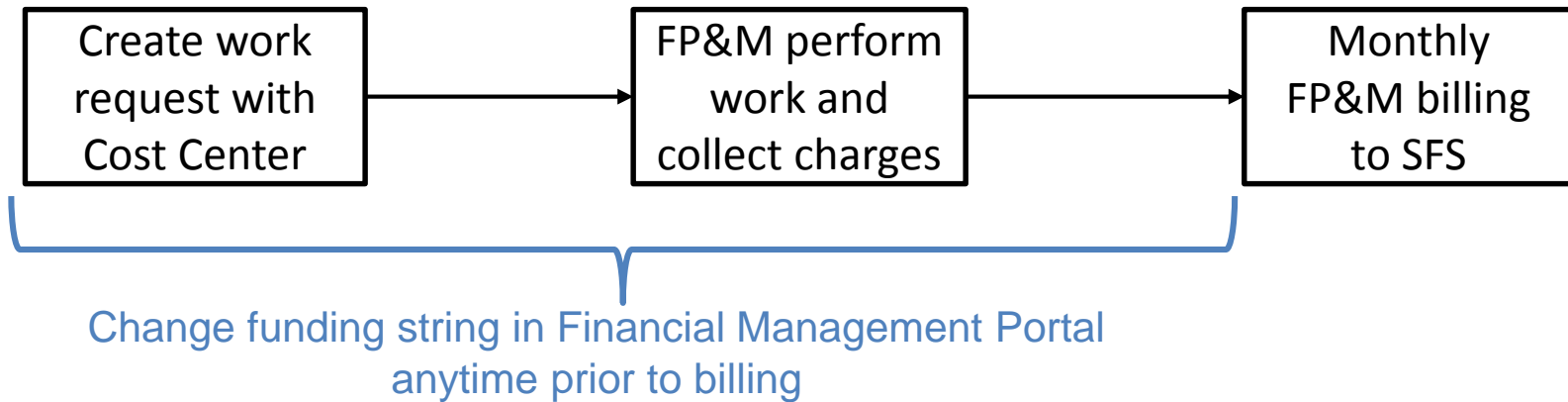
# Mutual Understanding of Cost Centers



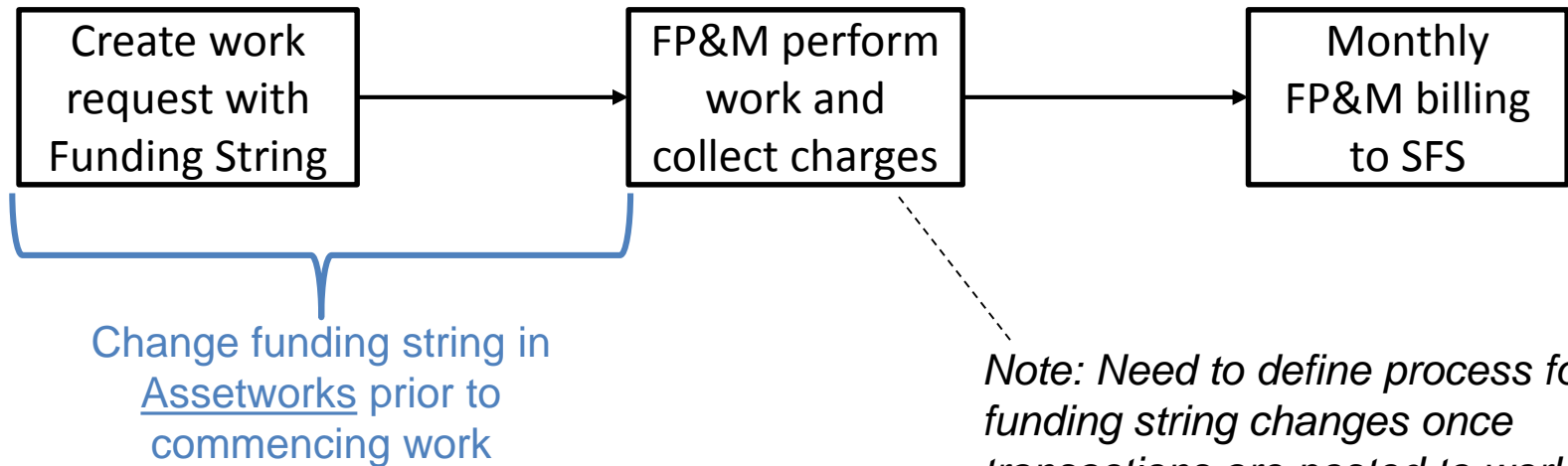
Campus Facility Managers and Financial Managers can create and modify costs centers and the included funding strings themselves.



## Current Physical Plant Accounting



## Proposed Physical Plant Accounting



*Note: Need to define process for funding string changes once transactions are posted to work orders in Assetworks.*

# Notes

- Transportation Dept will still accept Cost Centers and use Financial Management Portal.
- Physical Plant will bypass Financial Management Portal entirely, sending billing directly to SFS with funding strings.

# Catering Policy

Dave Brinkmeier and Doreen Forslund  
Purchasing Services



## Purchasing Policy and Procedure

Number PPP 10

POLICY

### Catering Policy - On and Off Campus

<http://www.bussvc.wisc.edu/purch/ppp10.html>

#### Policy:

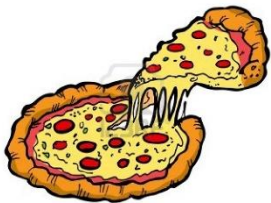
The decision to have food at a UW event, either on or off campus, presents a number of concerns, including the safe and proper handling of the food, as well as business concerns regarding purchasing and accounting processes and whether the provider has adequate insurance in place. The University has established the following policies as best practices as a precaution against the risk of food-borne illness.

## Definition of Vendor Catering

An off-campus catering vendor provides food service for University sponsored programs on property owned or leased by the University, is both licensed and insured, and prepares, transports, set outs and/or serves the food. **An insurance certificate with high-risk insurance limits is required.**

## Catering does NOT include:

Food purchased and prepared by University staff or prepared food (pre-packaged box lunches, sandwiches, cheese trays, pizza, cookies, fruit or similar items) purchased from a licensed restaurant and/or catering operation and served by University staff on property owned or leased by the University. Prepared food may be delivered by the vendor or picked up at the vendor's site by University staff.





## How to Obtain Catering Services for an Event

### Steps to Take When Considering On-Campus Catering

1. You must first contact the Wisconsin Union Catering and University Housing Catering to ascertain whether they can cater the event.
2. If neither the [Union](#) nor [Housing](#) is available to provide the catering, then the department has approval to follow standard purchasing rules to obtain catering.
3. All vendors who perform catering services on campus must have a City of Madison Catering License, and provide, prior to the event, a current insurance certificate with high-risk insurance limits, which must be forwarded to Risk Management for approval.
4. Purchases must conform to State procurement regulations and any contract must be signed by a University Signatory (Purchasing Office).

## How to Obtain Catering Services for an Event (Continued)

### Steps to Take When Considering Off-Campus Catering

1. Purchases must conform to State procurement regulations and any contract must be signed by a University Signatory (Purchasing Office).
2. You will need an [insurance certificate](#), approved by Risk Management if you hire a caterer to provide and serve food at a location other than their restaurant.
3. You will not need an insurance certificate:
  - If the meal will be provided and served in a restaurant.
  - If the meal is being provided and served by the hotel kitchen staff or by the hotel caterer where the event/meeting is being held.

If you have questions or need more information, please [contact Doreen Forslund](#).

## Events Attended Primarily by UW Employees

<https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/headquarter-city-uw-system-sponsored-events-policy/>

Meetings, conferences and training sessions for participation primarily by UW employees (this includes employees from all UW institutions) are subject to the following:

Meetings in non UW facilities are not allowable if additional expenses are incurred by the UW which would not have been incurred if the meetings were held in a UW facility. The only exception is when an adequate UW facility is not available. Justification for not using a UW facility where additional expenses are incurred requires approval of the institution controller.



# 9.2 Tuition Remission Changes

Lea Erickson  
Financial Reporting, Analysis, and Systems  
Accounting Services



# Tuition Remission Surcharge

- With the 9.2 SFS Upgrade, DoIT was able to re-write the tuition remission program to fix the yearly January split issue, which affected the surcharge for about 300 C-Basis Grad Assistants (RA/TA/PA) every year.
  - Eliminates late June adjustments for Fall/Spring semesters
  - Eliminates hours of work by RSP/Accounting Services to calculate January adjustments
- No updates or changes to A-Basis appointment calculations

# New C-Basis Grad Assistant Calculation

- OLD Method: Monthly Rate
  - C-Basis 9 Month Full Time Annual Rate/9 Months  
= Monthly Rate
- NEW Method: Daily Rate
  - C-Basis 9 Month Full Time Annual Rate/195  
(Number of Work Days in 2018-19 Academic Calendar) \* Number of Work Days in Pay Period =  
Daily Rate

# 2018-19 Academic Pay Periods

## University of Wisconsin Service Center 2018-2019 Academic Pay Periods UW-Madison

	Period		Total Days in Pay Period	WD
	Aug	Sep		
Sep	1	20 21 22 23 24 25 26 27 28 29 30 31 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	31	23
		Oct		
Oct	2	20 21 22 23 24 25 26 27 28 29 30 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	30	22
		Nov		
Nov	3	20 21 22 23 24 25 26 27 28 29 30 31 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	31	21
		Dec		
Dec	4	20 21 22 23 24 25 26 27 28 29 30 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	30	22
		Jan		
Jan	5	20 21 22 23 24 25 26 27 28 29 30 31 1 2 3* 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18	30	22
		Feb		
Feb	6	19 20 21 22 23 24 25 26 27 28 29 30 31 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18	31	21
		Mar		
Mar	7	19 20 21 22 23 24 25 26 27 28 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20	30	22
		Apr		
Apr	8	21 22 23 24 25 26 27 28 29 30 31 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	30	22
		May		
May	9	20 21 22 23 24 25 26 27 28 29 30 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19	30	20
			273	195

# Estimating Monthly Surcharges

- Created new FY18-19 Fall-Spring Surcharge Estimate Workbook to help with estimating monthly surcharges. This will be especially helpful when a Grad student has split funding or multiple appointments.

# Financial Managers Meeting

December 11, 2018

## Cash Management

Custodian Funds System  
Access and New Procedures

# Custodian Funds System

- **October/November 2017** - Cash Management implemented a system for the purpose of tracking all Custodian Funds, internally for Cash Management's use
- **December 2017** - Introduction of unique NR numbers and the NR number generator
- **January 2019** – Implementation of next phase, to include online submission of monthly reconciliations for Research and Contingent checking accounts, and view access to Custodian Funds for all individuals involved with the management and control of these funds

# Custodian Funds System

## Improvements for Cash Management

- Repository for all information and documents associated with each type of fund, which eliminated multiple spreadsheets
- Improved the accuracy and availability of information
- Reporting features, which allow for more timely follow-up on past-due items
- Tracking of completion of required training
- Unique NR numbers for all Custodian Funds, generated directly out of the system
- Many more!



# Custodian Funds System

## Improvements for Users & Campus Departments

- Online access to information about your Custodian Funds
- Elimination of multiple paper copies of reconciliations
- No more need to e-mail the reconciliations
- View access as to the status of reconciliations
- More to come!

# Custodian Funds System

## Users – View Access

- When logging into the system, you will have two tabs:
  - **Home** – The home screen will show all Custodian Funds where the user has an assigned role
  - **NR Numbers** – For generating NR numbers for Custodian Funds, this has not changed



# Custodian Funds System

## Users – View Access


Home Screen – Select view to view details and documents for Custodian Funds **or** use the search feature to find a Custodian Fund

My Accounts

**Research and Contingent Accounts** - Select **View** next to the account to submit a reconciliation, and/or view details of the account.

**Temporary Funds, Change Funds, Petty Cash, TBA and Administrative Accounts** - select **View** next to the account to view details of the account.

Account Type:  Status:  State:   
 Account Number:   
 Department:   
 NRNumber:

	Account #	Type	Custodian	NR Number	Depart Num	Department	Status	State
<a href="#">View</a>	20444	Research		NR10019	538900	MSN\SMPH\PSYCHIATRY\PSYCHIATRY	Open	Active
<a href="#">View</a>	20052	Research		NRWIMRURL	534800	MSN\SMPH\MEDICAL PHYSICS\MED PHYSIC	Open	Active
<a href="#">View</a>	17630	Research		NR8222008	534252	MSN\SMPH\MEDICINE\TOBACCO RE	Open	Active
<a href="#">View</a>	17622	Research		NR4012012	534252	MSN\SMPH\MEDICINE\TOBACCO RE	Open	Active

# Custodian Funds System

## Users – View Access


- ***Using a research account as an example***, once the account is selected, all of the details of the account are accessible. *This is the top half of the Account Overview.*

### Account Overview

Reconcilers of Research and Contingent Accounts - Select **Reconcile Account** to submit the account's completed monthly reconciliation and supporting documents.

Account Type: Research  
 Department: 279920 MSNISOHEICENTERS/FAMILY STD  
 NR Number: NR9981P1  
 Bank Account Number: 05416  
 Name: Uwellness Study (Papp NIDA)  
 Check Limit: \$175  
 Open Date: 8/30/2017  
 Close Date:  
 Auth Amount: \$10,000  
 SFS Fund: 144  
 SFS Project: AAB9981  
 SFS Vendor: 0000660443  
 ACH Settings: None

State: Active  
 Status: Open

Role	Name	Email	Effective Date	End Date
Custodian			12/4/2017	
Reconciler			12/4/2017	
Signer			12/4/2017	
Dean's Office/CFO			1/1/2018	
Department Chair			1/1/2018	
Department Chair			5/27/2018	
Reconciler			8/26/2018	
Department Chair			10/7/2018	
Department Chair			10/23/2018	


# Custodian Funds System

## Users – View Access

- This is the bottom half of the Account Overview*

[Back to Search](#)

Added on 8/30/2017 by System Account. Last updated on 5/21/2018 by STROIK, JACOB.

	Date Reconciled	Reconciled By	Complete
<a href="#">View</a>	9/30/2018		True
<a href="#">View</a>	8/31/2018		True
<a href="#">View</a>	5/31/2018		True
<div><div>1</div><div>2</div><div>3</div><div>4</div></div>			

### Account Documents

Name	Date Received	Document Type	Description	Added By
<a href="#">05416 2017 Annual MOU</a>	12/1/2017	Memorandums of Understanding (MOU)	2017 Annual MOUs	DEMURI, SARA DIANE
<a href="#">Acct 05416 - approval for filters</a>	4/19/2018	Account Related	Communication resulting in approval of filters	DEMURI, SARA DIANE
<a href="#">05416 Increase \$3500</a>	4/18/2018	Account Related	Increase acct to \$10,000	DEMURI, SARA DIANE
<a href="#">Acct 05416 - addition of filter</a>	5/16/2018	Account Related	Addition of Company ID check filter for PayPal	DEMURI, SARA DIANE
<a href="#">05416 ACH Debit Filter and Postive Pay</a>	6/19/2018	Account Related	ACH Debit Filter Issue and Addition of Positive Pay	DEMURI, SARA DIANE


	Amount	Received in Cash Mgmt	Sent to A/P	Voucher #	Voucher Date	Check #	ACH #	Bank Received	Added By	Updated By	Notes
<a href="#">View</a>	\$5,225.00	2/1/2018	2/1/2018	02684987	2/2/2018		0339785	2/8/2018	DEMURI, SARA DIANE	DEMURI, SARA DIANE	
<a href="#">View</a>	\$2,376.00	4/5/2018	4/5/2018	02721275	4/5/2018		0351823	4/11/2018	DEMURI, SARA DIANE	DEMURI, SARA DIANE	
<a href="#">View</a>	\$4,093.00	4/17/2018	4/17/2018	02728070	4/17/2018		0354025	4/23/2018	DEMURI, SARA DIANE	DEMURI, SARA DIANE	
<a href="#">View</a>	\$3,500.00	4/18/2018	4/18/2018	02729015	4/18/2018		0354405	4/24/2018	DEMURI, SARA DIANE	DEMURI, SARA DIANE	
<a href="#">View</a>	\$4,196.00	5/18/2018	5/18/2018	02745203	5/18/2018		0360953	5/24/2018	DEMURI, SARA DIANE	DEMURI, SARA DIANE	
<a href="#">View</a>	\$4,687.00	7/16/2018	7/16/2018	02779640	7/17/2018		0373732	7/23/2018	DEMURI, SARA DIANE	DEMURI, SARA DIANE	

# Custodian Funds System

## Reconcilers - *Research and Contingent Accounts*

- **January 2019** reconciliations will be submitted directly into the system by the end of February 2019
- Select **Reconcile Account** to submit your monthly reconciliation

### Reconcile Account

	Date Reconciled	Reconciled By	Complete
<a href="#">View</a> .....	9/30/2018		True
<a href="#">View</a> .....	6/30/2018		True
<a href="#">View</a> .....	5/31/2018		True
<div><div>1</div><div>2</div><div>3</div><div>4</div></div>			

# Custodian Funds System

## Reconcilers - *Research and Contingent Accounts*

- Using the drop down, select the month you are submitting the reconciliation for, select save and start to attach all of your documents

Reconcile Account

1. Using the drop-down, select the month you are submitting the reconciliation for, and click on "Save".
2. Select "Add Reconcile Document", then "choose File" - and finally navigate to the file.
3. Add a description of MMYYYY and the last 5 digits of the account number, and then select Upload.
4. Repeat steps 2 and 3 for each additional document associated with the reconciliation (select **green + sign** to add the document).
5. Required documentation is defined as:
  - a. Completed/Balanced Bank Reconciliation Worksheet
  - b. Check logs/registers to reflect checks written, outstanding checks and ending monthly balance
  - c. Stop-payment printout(s) from SinglePoint
  - d. Copy of Bank Statement
6. If you have notes/comments, please add these to the description field.
7. If you have uploaded all necessary documents for your reconciliation, select the radio button "Send to Accounting Services for approval" and then "Submit Selection".
8. To edit or delete, use the edit symbol next to the document you want to change.
9. You may also select Cancel and Delete the reconcile submission to start over.
10. Any questions should be e-mailed to [cstdnfnd@bussvc.wisc.edu](mailto:cstdnfnd@bussvc.wisc.edu).

Account: 20052 Medical Physics WIMR Ultrasound (Research)

Reconcile Month:

# Custodian Funds System

## Reconcilers - *Research and Contingent Accounts*

### Required Documents for each monthly Reconciliation

- Completed/Balanced Bank Reconciliation Worksheet
- Check logs/registers to reflect checks written, outstanding checks and ending monthly balance
- Stop-payment printout(s) from SinglePoint
- Copy of Bank Statement



# Custodian Funds System

## Future

- Workflow for online submission of periodic replenishments which will replace the use and routing of the Custodian Fund Accounting Form
- Reporting features to help with management of Custodian Funds
- Notifications when there is an action required
- Workflow for online submission of MOUs

# Custodian Funds System

**Show & Tell Sessions** – details and locations will be shared as soon as they are available

# Custodian Funds System

**QUESTIONS??**



# Replenishable Debit Card

Liv Goff  
Disbursements  
Accounting Services



# Stale Dated Checks Update

Liv Goff  
Disbursements  
Accounting Services



# DP/PIR Form

Jennifer Roltgen  
Disbursements, Accounts Payable  
Accounting Services



## New DP/PIR Form

- DP/PIR Form Demo → <http://www.bussvc.wisc.edu/acct/forms.html#dc>
- Benefits of using the new form
  - Ease of use
  - Allow adding and removing of funding strings
  - Easy to modify for repeat use
  - Figures out tax withholding for Nonresident Aliens
  - Able to see the form as you update it
  - Lists required forms
- Accounts Payable will not be accepting old DP, PIR or ET forms including Excel and Engineering forms after January 1, 2019
- Accounts Payable will not take modified copies of our forms. They must be our original forms
- Current Forms are available on the Accounting Services Website under Forms

# Disbursement Audit

Rusty Haines  
Disbursements/Travel & Cards  
Accounting Services





# Internal Purchasing Card Audit Update

## 1. Divisional Purchasing Card Audits

- Started February 24, 2018
- 30 Divisions have been audited to date
- 5 more Divisions will be completed between now and February, 2019
- 45 warnings and 1 card revocation

## 2. Will start Purchasing Card transactional audits in February, 2019.

- Transactions will be identified using IDEA software coupled with SFS data analytics. Short example of IDEA transactional search:
- `@Isini("AMAZON",MERCHANT_NAME) .OR. @Isini("BEST BUY",MERCHANT_NAME) .OR. @Isini("WHOLE FOODS",MERCHANT_NAME) .OR. @Isini("TARGET",MERCHANT_NAME) .OR. @Isini("RESTAURANT",MERCHANT_NAME) .OR. @Isini("MENARDS",MERCHANT_NAME) .OR. @Isini("HOME DEPOT",MERCHANT_NAME) .OR. @Isini("PAYPAL",MERCHANT_NAME) .OR. @Isini("SQ *",MERCHANT_NAME) OR ITEM_DESCRIPTION) .OR.@isini("ALCOHOL", ITEM_DESCRIPTION) .OR.@isini("APPLE", ITEM_DESCRIPTION) .OR.@isini("ARMANI", ITEM_DESCRIPTION) .OR.@isini("BABY", ITEM_DESCRIPTION) .OR.@isini("BANK", ITEM_DESCRIPTION) .OR.@isini("BAR"`
- The list will “mature” as the audit findings dictate

# Expense Report Auditing Update

## 1. Pre-Payment

- Currently piloting centralized expense auditing
  - ✓ Need was identified by the Travel Advisory Group (TAG) finding of a lack of uniformity of travel policy interpretation and enforcement on campus
  - ✓ TAG recommended uniformity can best be accomplished by centralizing the policy compliance role in Accounting Services and preserving the funding assignment role in the Departments or Divisions
  - ✓ Ongoing pilot with Extension, Botany, Journalism and Center for Healthy Minds. Near term will add two departments in SMPH

## Expense Report Auditing Update (Cont'd)

### 2. Post-Payment

- Post-payment expense auditing will be IDEEA/data analytics driven
  - ✓ Audit focus and scope will be expanded based on analysis of findings

### 3. Expense Report audit findings

- Specific Division/Department audit findings and statistics will be tracked and shared with Division CFO's
- Division/Department will be responsible for any required employee repayment or possible disciplinary action

# Questions?

# Official Functions Policy

Rusty Haines

Disbursements, Travel and Cards

Accounting Services



## New UW System Policy 312, Official Functions (revised 11/5/2018):

<https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/official-functions-2/>

### **Pertinent Policy Requirements:**

- All expenses for Official Functions must be pre-approved in writing by the Approving Authority
- The Approving Authority must verify every event, even if mostly social in nature, will “substantially advance or contribute to the institution’s mission”
- The source of funds for expenses related to official functions must be gifts, program revenue or trust funds, not general purpose revenue (GPR)
- The Approving Authority must review the Donor intent associated with the source of funds and any fund restrictions
- The Approving Authority must be prepared to defend the approval of an Official Function Event should there be an open record or audit related inquiry
- Approving Authority is a Chancellor, Vice Chancellor or Dean
- No alcohol expense

## UWSA Policy 312 Examples of Official Functions

- Functions for parents of preregistering students.
- Inauguration ceremony for a new President or Chancellor.
- Functions for graduating classes and their parents.
- Alumni Homecoming functions.
- Functions for community leaders, prominent visitors, legislators and officials, or leaders of educational programs.
- Functions for Board of Visitors or officials from other public or private institutions.
- Functions related to opening of new facilities and dedication ceremonies. The preponderance of people in attendance must be from outside the institution.
- Functions for officially recognized student groups.
- Functions and recognition functions to honor distinguished faculty, staff and students for significant, meritorious achievements

## UW-Madison Proposed Additional Examples of Official Functions

- Fundraising and alumni events
- Faculty, staff and student recruitment events
- One housing hunting trip for faculty or staff (restricted to employee and spouse/significant other)
- Employee recognition and morale/team building events such as honoring an employee retiring or separating from the University with at least 5 years of service and annual holiday/general appreciation events (one event per department or division)
- Nominal gifts (less than \$50.00) or flowers related to employee major life events such as weddings, births, or death in a family
- Meal expenses associated with an Official Function that exceed the University meal maximums but are less than \$100.00 per person including alcohol
- Lodging costs paid by the University for non-UW employees attending an Official Function exceeding the lodging maximums
- Airfare costs paid by the University for non-UW employees attending an Official Function are not restricted to economy/coach class fares



## Other Important Considerations

- An expense associated with a spouse/significant other/guest attending an Official Function is allowable if supported with a documented purpose for the attendance of the spouse/significant other/guest and the cost of attendance is proportional to the value added to the event by the spouse(s)/significant other(s)/guest(s)
- Any purchase or service of alcohol must be reimbursed through SFS, charged to Account Code 6240 and billed to the Wisconsin Foundation and Alumni Association (WFAA); or, via check request to WFAA
- There will be discussion between the University and WFAA regarding the correct source(s) of funds for these expenses including Community Funds and Discretionary Funds

# Questions?

Thank you for attending.

## Future Financial Management Meetings

Rooms 1106 & 1108, 21 N Park Street  
9:30 a.m.

W, February 13, 2019

T, April 9, 2019

T, June 11, 2019

T, August 13, 2019

T, October 15, 2019

T, December 10, 2019

