Administrative Modernization and Shared Services



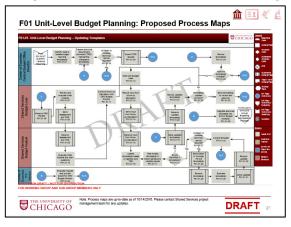
Spring 2017 AMSS Process Summaries

DISCUSSION DRAFT

Today / Tomorrow Comparison Overview

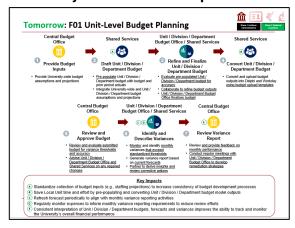
Today / Tomorrow Comparisons were created based upon proposed future state processes as designed by the Staff Working Groups. These materials were developed to summarize the impact of proposed changes or updates (i.e., technology enhancements, policy changes, process changes, and roles and responsibilities).

Process Maps Created / Validated with Working Groups





Today / Tomorrow Comparisons



These comparisons were developed in accordance with the following guidelines.

- Process maps were simplified to communicate the *key* process steps. Lower level details such as specific hand-offs, routing protocols for electronic forms, links between processes, etc. were removed.
- The comparisons reflect the most common process scenario. References to decisions, feedback loops, and scenario routing were removed.
- While members of the Staff Working Groups identified a number of pain points and improvements, the comparisons highlight some of the largest and most common pain points experienced in these processes. Given the quantity of information discussed and the purpose of these comparisons, not all process steps are included.
- The comparisons provide an overview of a select set of the activities that are included in each process. The comparisons demonstrate key activities and changes in each process.

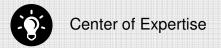


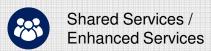


How to Read This Document – Icon Reference





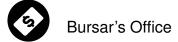


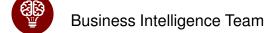














Central Budget Office



Chief Financial Officer (CFO)



Contract Administrator



Employee / Applicant



Expense Approver



External Vendor / Payee



Faculty / Department Chair



HR Operations / Central HR



Information Technology Services (ITS)



Invoice 3rd Party Processor



Local Business Center



Payment Services



Payroll



Principal Investigator



Procurement



UChicago Time



Unit / Division /
Department Budget Office

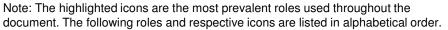


Unit Individual / Admin



Workday







HUMAN RESOURCES

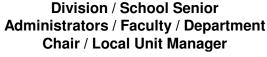


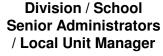




Today: H01 Staff Planning

Faculty / Department Chair / Local Unit Manager























Create Goals

 Finalize goals with Local Unit Leadership



- · Analyze current goals and compare with current staff
- Identify staffing needs

Outline Role Parameters

- · Define the parameters of the new role
- Review current job description and make changes (as necessary)

Division / School

Senior Administrators

Determine job profile

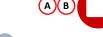
- Review market data and select pay parameters for the role
- · Create and submit recruitment plan (optional) to unit senior leadership for approval (as necessary)

Local Unit Leadership











- · Assess new role and approve budget (as necessary)
- Review and approve recruitment plan (as necessary)

- **Perform Equity Analysis**
 - · Perform internal equity analysis to ensure alignment with other current positions

- (A) Unclear handoffs between when and how COE can assist Local Units during staff planning
- (B) Inconsistent job descriptions and market data lead to pay equity issues
- C Lack of a standardized recruitment plan creates unclear expectations and incompliance that puts the University at risk with Equal Opportunity and Affirmative Action policies







Tomorrow: H01 Staff Planning

Faculty / Department Manager

Division / School Senior Chair / Local Unit Administrators / Faculty / Department Senior Administrators **Chair / Local Unit Manager**

Division / School / Local Unit Manager

Division / **School Senior** Administrators

Local Unit Leadership





















 Finalize goals with Local Unit leadership

Analyze Goals

- Analyze current goals and compare with current staff
- Identify staffing needs
- Request services from the Center of Expertise (optional)

Outline Role & Pav Parameters

- Define the parameters of the new role
- · Review current job description and make changes (as needed)
- · Determine job profile and market data utilizing revised job architecture

Create **Recruitment Plan**

- Create a detailed recruitment plan utilizing the standard recruitment plan template (required)
- Request services from the Center of Expertise (optional)



- (if required) Assess new role and approve
- budget (as necessary) Review and approve recruitment plan (as necessary)

Division / School Senior Administrators



Implement Plan

- · Perform internal equity analysis to ensure alignment with other current positions
- · Implement recruitment plan
- Upload recruitment plan to Workday

- (A) Clarify roles and responsibilities to provide clear handoffs where COE can provide assistance (i.e. analyzing current staff needs, drafting job descriptions, creating recruitment plans, etc.)
- B Revise current job architecture, update job profiles, and create job description templates to ensure consistency and accuracy in market data
- c Create and disseminated standard recruitment plan templates for Division / School Senior Administrators to use, this will mitigate discrepancies, compliance issues, and ensure all units follow an approved recruitment method





Today: H02 Compensation Activities (New Hire & Merit Increases)



New Hire:

HR Partner







HR Partner





HR Partner / Local Unit Manager

- 1 Confirm Funding
- Consult with manager and confirm funding
- Finalize job description

2 De

Determine Job Profile and Market Data

- Determine job profile from 900 job profiles
- Review internal and external market data to determine compensation

3 Finalize Compensation

- Determine if position is grant funded
- Confirm available funding, including grant funding

Merit Increases:

Central HR















HR Partner / Faculty / Department Chair / Local Unit Manager



Central HR



- **1** Prepare Materials
- Provide educational materials and guidelines
- Generate pre-merit report

Unit Manager

Set Performance Review Process

HR Partner / Local

- Determine unit performance review model (optional)
- Communicate process (optional)

Chair / Local Unit Manager

Faculty / Department

Conduct Performance Review

- Meet with employee and review performance (optional)
- Provide feedback and set new goals (optional)

Determine Merit Increase

- Determine performance rating and merit increase
- Distribute merit increase letters
- Process merit increase in Workday

Prepare Post-Merit Report

- Generate base pay competitive report to compare changes postsnapshot
- Prepare report and submit to Senior Leadership and Dean's Offices

- (A) Lack of standardization across the University with over 900 job profiles and no standard job descriptions
- (B) Limited market data (internal and external analysis) for all job profiles in Workday leads to pay inequity
- © Inconsistent performance review process leads to performance issues, retention and inconsistent merit increases across the University

Tomorrow: H02 Compensation Activities (New Hire & Merit Increases)



New Hire:

HR Partner











HR Partner / Local Unit Manager

1 Confirm Funding

- Consult with manager and confirm funding
- Finalize job description <u>utilize standardized job</u> <u>descriptions</u>

Determine Job Profile and Market Data

• Determine job <u>profile utilizing new job</u> <u>architecture</u>

HR Partner

- Review internal and external market data for all job profiles in Workday
- Request additional support from the Center of Expertise (optional)

3 Finalize Compensation

- Determine if position is grant funded
- Confirm available funding, including grant funding

Merit Increases:

Center of Expertise

HR Partner / Local Unit Manager

Faculty / Department Chair / Local Unit Manager



Center of Expertise



















1 Prepare Materials

- Provide educational materials and guidelines
- Generate pre-merit report
- Provide market data in Workday and suggest a model for performance reviews and merit increases

Set Performance Review Process

- Determine unit performance review model or <u>follow</u> <u>suggested model by COE</u>
- Communicate process <u>and</u> <u>set guidelines</u>
- Request additional support from the Center of Expertise (optional)

Conduct Performance Review

- Meet with employee to review performance and provide feedback utilizing resources from COE
- <u>Discuss goals for the</u>
 <u>upcoming year to provide</u>
 <u>career growth</u>
 <u>opportunities</u>

Determine Merit Increase

- Determine performance rating and merit increase <u>utilizing resources from</u> COE
- Distribute merit increase letters through Workday
- Process merit increase in Workday

Prepare Post-Merit Report

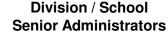
- Generate base pay competitive report to compare changes postsnapshot
- Prepare report and submit to Senior Leadership and Dean's Offices

- (A) Implement University-wide job architecture to increase compliance with job profiles, pay equity, and create standardized job descriptions
- (B) Clarify roles and responsibilities to provide clear handoffs where COE can provide assistance (i.e. determining job profile, performance model or merit increases, etc.) and create resources for the University (i.e. performance review model, manager and employee toolkit for performance reviews, etc.)
- © Update information in Workday with the updated job profile details and make market data (internal and external) more relevant for all jobs

Today: H03 Staff Recruitment*



Division / School Senior Administrators



Division / School **Senior Administrators**

Division / School **Senior Administrators**

Central HR

























· Confirm funding is available within the unit for a position with Budget Partner



- Create requisition in **UChicago Jobs**
- · Create chair positon in Workday

Obtain Approvals

- Obtain approval from HR Budget Partner for chair in Workday
- Obtain approval from Central HR for created chair position in Workday

Add Time **Approvers**

 Add time approvers to position after approval is obtained in Workday

Review and Post Job Posting

- Review job description for key information
- · Communicate with unit Division / School Senior Administrators to adjust description (if necessary)
- Add Workday ID to UChicago Jobs posting
- Post position in UChicago Jobs
- · Notify Division / School Senior Administrators of active posting in UChicago Jobs
- · Notify if extra outreach is required for underutilized positions

Division / School **Senior Administrators**







Applicant



- · Receive and review notification
- Determine extra outreach plan for underutilized position (if necessary)

Apply to Position

· Applicants apply to posted positions and the applicant tracking process begins in **UChicago Jobs**

- Lack of position control can lead to positions without funding approval
- Double data entry, manual checks and multiple approvals due to lack of integration between Workday and UChicago Jobs
- c Lack of a standardized outreach plan for underutilized positions or access to standardized external posting options



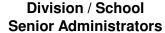
^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



Tomorrow: H03 Staff Recruitment*



Division / School **Senior Administrators**



Division / School Shared Services Senior Administrators

Applicant















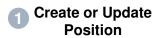












- Create or update positon within Workday
- Complete system access requirements for role
- Obtain automatic position control within Workday based on budget approval
- · View job profiles in Workday that require extra outreach for underutilization
- · Upload recruitment plan for position
- Add time approvers

Select Posting Options

Submit external posting preferences for position



Review and Post Job Posting

- · Review job description for key information
- · Communicate with unit Division / School Senior Administrators to adjust description (if necessary)
- · Post position through Workday
- Complete additional posting as requested by Local Unit



Receive Notification

- · Receive notification of posted position (autonotification of results)
- Receive notification through ServiceNow of position posted on external sites (automatic if requested)
- Implement recruitment plan



Apply to Position

· Applicants apply to posted positions in Workday and the applicant tracking process begins

- Improve internal controls by implementing position control and linking Delphi and Workday
- Eliminate duplicate data entry for staff recruitment in two systems (e.g., Workday and UChicago Jobs) by utilizing one system (e.g., Workday Recruitment module) and increase auto-notifications
- Automatically highlight job profiles that will require extra outreach for underutilized positions (minorities and females)
- Create role-driven system access requirements to ensure a smooth onboarding process
- Create standardized recruitment plan in order to ensure each position has a recruitment strategy
- Increase access to external posting options and remove unit burden of completing extra posting
- Eliminate steps of adding time approvers and obtaining budget approvals by adding these steps to business process of creating position in Workday and obtaining approvals through Delphi and Workday



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



Today: H04 Applicant Tracking*



Division / School Senior Administrators / Faculty / Department Chair Division / School Senior Administrators / Faculty / Department Chair / Local Unit Manager

Faculty / Department Chair / Local Unit Manager Faculty / Department Chair / Local Unit Manager Faculty / Department Chair / Local Unit Manager



















Review Feedback



 Review submitted applications in UChicago Jobs – system doesn't separate applicants ineligible for rehire



- Conduct screening for selected applicants
- Discuss outcomes with hiring manager (as needed)



 Select applicants to interview

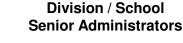


- Invite selected applicants
 Prepare materials and conduct interview
- Review interviewers feedback
- Select an applicant for hire

Division / School Senior Administrators / Faculty / Department Chair / Local Unit Manager











Applicant





Division / School Senior





- · Confirm salary requirements
- Conduct reference checks (optional)
- Extend offer (verbal or written) to applicant – review of applicant ineligible for rehire is not integrated



 Accept offer verbally or written



 Submit request for background check to GIS system



 Enter information into GIS system



- Validate clear background check
- Send applicant formal, written offer letter



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



Today: H04 Applicant Tracking*



Applicant

Division / School Senior Administrators

Division / School Senior Administrators

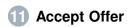














r (

Close Position & Update Applicants' Statuses

- · Sign and submit offer letter
- Upload offer letter in Workday
- · Close position in UChicago Jobs
- Update applicants' status in UChicago Jobs

- A Lack of communication to applicants about the hiring status leads to many inquiries (i.e., indicating when position is filled, when applicants have been selected for interview)
- B Review of applicant eligibility for rehire is not integrated into the process
- Insufficient reporting availability and inefficient applicant review process due to an inability to generate reports in UChicago Jobs because data is being stored in two systems
- D Lack of communication regarding background check delays



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



Tomorrow: H04 Applicant Tracking*



Division / School Senior Administrators / Local Unit Manager



Division / School Senior Administrators / Faculty / Department Chair

Division / School Senior Administrators

Division / School Senior Administrators / Faculty / Department Chair























Review Applicants

- Review submitted applications in Workday (auto-notification of results to applicant)
- Automatic removal of applicants who are ineligible for rehire
- Request services from the Center of Expertise (optional)

2 Screen Applicants

- Conduct screening for selected applicants
- Discuss outcomes with hiring manager (as needed)

Select Applicants

- Select applicants to interview (auto-notification of results to applicant)
- Notify Division / School Senior Administrators to invite selected applicants

Prepare for Interviews

- <u>Set-up interviews with</u> <u>selected applicants</u>
- <u>Update status in Workday</u> (<u>auto-notification of results</u> to applicant)
- Prepare materials for the interview committee

Shared Services

Interview <u>Final</u> Applicants and Review Feedback

- Interview applicants <u>and</u> <u>update status in Workday</u> (<u>auto-notification of results</u> to applicant)
- Review interviewers feedback
- · Select an applicant for hire

Division / School Senior Administrators







Applicant







Division / School

Senior Administrators













- · Confirm salary requirements
- Conduct reference checks (mandatory)
- Extend offer (verbal or written) to applicant (<u>auto-notification of</u> <u>results to applicant)</u>

Accept Offer

- Accept offer
- Sign and submit offer letter

Upload Offer Letter & Close Position

- · Upload offer letter in Workday
- Close position in Workday to prevent additional applicants and move candidate to onboarding steps in Workday

Initiate Background Check

- Submit request for background check to GIS system
- Inform candidate how to submit information

Submit Information

 Enter information into GIS system (auto-notification of results)



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements



Tomorrow: H04 Applicant Tracking*

Shared Services











Send Clearance to Division / School Senior Administrators

 Send notification of clear background to Division / School Senior Administrators



Update Applicants' Status

- · Close position in Workday
- Update applicants' statuses in Workday (<u>auto-notification of</u> results to applicant)

- A Reduce applicant inquiries by communicating throughout the process
- B Increase compliance of applicant eligibility for rehire by implementing Workday Recruitment to simplify the process
- Increase reporting capabilities by implementing Workday Recruitment. This will allow all applicant information to be stored in one system and offers improved reporting and applicant search functionality
- © Create and standardize background check notifications to selected candidates and Division / School Senior Administrators
- (E) Define roles and responsibilities throughout the process and promote services offered by the Center of Expertise
- Eliminate duplicate data entry in two systems (e.g., Workday and UChicago Jobs) by utilizing one system (e.g., Workday Recruitment module) for applicant tracking
- © Eliminate one hand-off to the applicant



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



Wave 2 Uniform Wave 2 Uniform

Today: H05 Onboarding (Centralized Staff)

Division / School Senior Administrators







Employee





Division / School





Employee



Employee



Request Information

- Request employee birthday and social security number
- Guide employee throughout the onboarding process and respond to inquiries

Send Information

- · Send birthday and social security number
 - Communicate with Division / School Senior Administrators regarding next steps and wait for guidance

Division / School **Senior Administrators**

Process Hire

- · Initiate new hire steps in Workday and enter information from UChicago Jobs to Workday
- Initiate creation of UChicago ID / CNet ID, as necessary
- · Request systems access, IT hardware, and training needs
- Provide "First Day" information

HR Operations

Complete ID Creation

- Receive onboarding notification
- Claim CNet ID

Complete Employee Information

- · Enter key information into Workday
- · Complete state W-4 and W-2 forms

Employee



















Division / School Senior

Administrators / Faculty /

Department Chair





Employee

Initiate Employment Verification

- Bring government approved I-9 documents for Division / School Senior Administrators to verify
- Complete employment verification with a notary/third party, if working remotely

Employment Processing

· Complete I-9 verification in Workday

Complete Employment Processing

- · Receive notification that hiring is complete
- Complete eVerify (as necessary)
- · Assign pay group

Conduct Onboarding

- Oversee office setup
- Conduct unit specific onboarding

Receive Hire Completion Notification

- Attend optional centralized orientation (Drexel)
- Attend unit onboarding
- · Collect UChicago ID badge from library

- (A) Lack of standard onboarding process leads to confusion for new hires surrounding next steps, which places a large burden on Local Units and Division / School Senior Administrators to guide employees throughout the process and to respond to inquiries
- B Limited integration between Workday and UChicago Jobs and UChicago Time leads to time delays in pre-hire and hire process
- Lack of processes / policies for remote onboarding as they happen outside of the University
- Lack of compliance with I-9 verification and collection of documents increases risk for audit findings and penalties
- E Employees must go to at least two locations to complete onboarding, this process may take upwards of a week





Tomorrow: H05 Onboarding (Centralized Staff)

Division / School Senior Administrators











Shared Services







Employee







Shared Services





- Complete web-based pre-hire form
- Submit pre-hire form to Shared Services



Shared Services

- Review pre-hire form and documents
- Process pre-hire and initiate onboarding

Initiate ID and Systems Access Generation

- Retrieve employee information from GIS (e.g., birthday and SSN) submitted in Applicant Tracking (H04)
- Initiate creation of UChicago ID / CNet ID, as necessary
- Initiate access to specified systems based on position

Report to Onboarding Center

- Receive onboarding notification
- Claim CNet ID
- Complete I-9, state W-4 and W-2 forms in Workday
- Bring government approved I-9 documents
- Collect UChicago ID badge

I-9 Verification

and Employment Processing

- Complete eVerify (as necessary) and I-9 verification
- Complete employment processing
- Provide new hire information such us payroll, benefits, ID badge, time & attendance tracking

Shared Services



- Conduct university-wide, centralized orientation
- Discuss benefits options and university culture

Orientation

Division / School Senior Administrators / time Faculty / Department Chair / Local Unit Manager







- Receive notification that hiring is complete
- Oversee office setup
- Conduct unit specific onboarding / orientation

- Improve University controls and standardization of the following processes: I-9 verification, foreign national employment verification, centralized onboarding, and initiation of UChicago ID / CNet ID / badge
- B Eliminate three handoffs in the process due to utilizing one integrated HR system (e.g., Workday)
- © Create one centralized, University-wide onboarding process to improve standardization, compliance, and create a cohesive onboarding experience for all employees
- Eliminate paper based I-9 process and create a streamlined electronic process (i.e., for on campus or remote new hires)
- Employees can now complete onboarding at one place within the first 3 days of hire as per federal requirements
- F Create an engaging experience for all new hires to start their employment at the University. Provide clear communication and one point of contact for new hire guestions

Today: H06 Benefits (New Hire Benefits & Qualifying Changes)



Employee Employee Central HR Central HR





















- Receive information on benefits eligibility and elections from Division / School Senior Administrators
- Contact Division / School Senior Administrators or Benefits Specialists within the Center of Expertise with questions (as necessary)

2

Make Benefits Elections

- Log into Workday to make elections within 31 days of hire or qualifying event
- · Attach documentation



Review Elections

- Review elections in Workday for correct documentation
- Reject change and follow up within Workday if documentation or elections are incorrect



- Approve elections in Workday
- After approval, elections are transferred to vendors via weekly integration

- Division / School Senior Administrators often spend time walking employees through enrollment due to confusion and lack of standardization
- Division / School Senior Administrators have to submit inquiries to central resources
- Delay in new hire onboarding process leads to delays for employees signing up for benefits
- Employees often miss the deadlines or upload incorrect documentation
- Lack of system prompt for documentation within Workday allows employees to submit without attaching documentation Lack of reminders to update tax documentation increases downstream affects of out-of-state employee tax information





Tomorrow: H06 Benefits (New Hire Benefits & **Qualifying Changes)**



Employee







Employee





· Review elections in

documentation

· Reject change and

documentation or

Workday for correct

follow up by email if

elections are incorrect





Shared Services







Receive Information

- Receive information on benefits eligibility and elections through centralized onboarding process
- Ask questions through helpdesk or benefits specialists within Shared Services (as necessary)



- Log into Workday to make elections within 31 days of hire or qualifying event
- Attach documentation utilizing help text and system prompts to upload required documentation
- Receive notice to print elections for records

Shared Services

Review Elections





- · Approve elections in Workday
- · After approval, elections are transferred to vendors via weekly integration

Employee





Receive Reminders

Receive reminder to update tax documentation based upon elections or changes

- (A) Standardize benefits election and streamline onboarding process allow benefits election to come earlier with help text and links to video resources on how to select and choose a benefits plan
- (B) Create a centralized helpdesk to provide quick response and resources when employees select or update their benefits
- (c) Utilize system prompts for documentation within business processes to ensure proper documentation during benefits selections and changes
- D Utilize reminders to update tax documentation to decrease downstream affects of out-of-state employee tax information





Today: H07 Leaves



Employee















Division / School

Senior Administrators







Division / School

Senior Administrators



· Notify manager or Division / School Senior Administrators of intent to take leave



Advise on Process

Division / School Senior

Administrators

- · Advise employee on the process, forms and documentation required for leave
- · Direct employee to Central HR to finalize leave process

Complete & **Submit forms**

- Complete leave forms
- Obtain medical documentation

Employee

 Submit forms to Division / School Senior Administrators

Division / School

Senior Administrators

Compile Accruals

· Manually download accrual report from UChicago Time

Employee

· Validate accruals with employee or manager

Information

· Send forms. documentation and accrual report to Central HR for processing

Central HR



















Division / School Senior Administrators





- · Review forms & documentation
- · Work with employee to make any corrections or updates
- · Enter leave start and end dates in Workday
- Provide report to Division / School Senior Administrators to manage accruals in UChicago Time

Confirm **Leave Dates**

- · Receive notification of approval and information on start/end date
- Confirm leave start date based on the event

Manage Accruals

Enter monthly accruals based upon report form Central HR and submit monthly absence report on behalf of the employee

Initiate Return to Work

· Provide return to work notice from the doctor

Confirm Return to Work

 Review documentation and confirm that employee has returned to work

- (A) Division / School Senior Administrators often spend time advising employees through the process and have to reach out to Central HR to find information to provide to employee
- (B) Forms and documentation are paper-based, leading to a manual process and delays with review
- Division / School Senior Administrators have to submit inquiries to central resources
- Documentation required for leaves is not standardized or always enforced which leads to additional follow-up and delays
- (E) Accruals are stored in UChicago Time and not always accurate due to delayed approvals



Tomorrow: H07 Leaves



Employee







Shared Services





Shared Services





Employee



- Complete and submit electronic leave request to initiate leave
- Obtain medical documentation

2 Process Request

- Advise employee on the process, forms and documentation required for leave (if requested)
- Receive and review all electronic leave requests

3 Finalize Leave

- Enter leave start and end dates in Workday
- Enter usage of accruals in Workday

4

Confirm Leave Dates

- Receive notification of approval and information on start/end date
- <u>Division / School Senior Administrators</u> <u>also receive information on leave</u> <u>processing status</u>
- Confirm leave start date based on the event

Employee









Shared Services



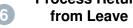
Local Unit Manager



Initiate Return to Work

 Provide return to work notice from the doctor

Process Return



- Receive and review return from leave documentation
- Send notification of approved return to work to Manager and Division / School Senior Administrators
- · Confirm usage of accruals

Confirm Return to Work

 Confirm that employee has returned to work

- A Streamline the process of requesting and submitting documentation for a leave and create ability to track all leave requests
- B Automate forms and routing of leaves requests to expedite the process and increase accuracy
- © Review leaves centrally within Shared Services to reduce burden on Division / School Senior Administrators and provide quick response to employees
- E Standardize and automate documentation requirements for requesting a leave and returning to work
- F Process usage of accruals during leave in Workday and manage this process through Shared Services to reduce inconsistencies and incompliance

Today: H08 HR Data Management



HR Partner









Central HR





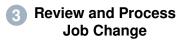
Central HR

Determine Job
Change Type

 Discuss with manager and determine if employee's job responsibilities are changing, end date changing, job hours changing or if employee is changing jobs within UChicago 2 Submit Job Change

 Submit requested job changes in Workday

HR Partner



- Review and process change(s) to employee type, qualifying hours, compensation, FLSA, pay group, or overall hours worked
- · Assign pay group

4

Completion Notification

 Send manual completion notification

- A Lack of standardized processes often lead to Division / School Senior Administrators initiating unnecessary job changes and delaying the process of internal transfers
- B Approvals between Units and Central HR for Workday processes are not standardized
- C Lack on notifications when process is completed or delayed lead to confusion and errors





Wave 1 Uniform

Tomorrow: H08 HR Data Management

HR Partner







HR Partner







Shared Services



Determine Job Change Type

 Discuss with manager and determine if employee's job responsibilities are changing, end date changing, job hours changing or if employee is changing jobs within UChicago Job Change

· Submit requested job changes in Workday



Review and **Process Job** Change

- Review and process change(s) to employee type, qualifying hours, compensation, FLSA, pay group, or overall hours worked
- Review additional changes. qualifying benefits changes and Orientation sign-up (if applicable)
- Assign pay group
- · Automatic approval and completion notification sent

- (A) Create a standardized process for all job changes that clarifies roles and responsibilities, and approval process (B) Create training on job changes to increase compliance and efficiency
- (c) Increase communication and notifications surrounding approvals to provide transparency and reduce confusion
- (b) Eliminate sending a manual notification by implementing system-triggered notification of completion





Today: H09 Time & Attendance



Employee

Employee

Faculty / Department Chair / **Local Unit Manager**

UChicago Time

Workday













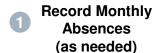


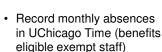


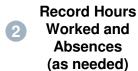












· Record hours worked and absences in UChicago Time (benefits eligible and ineligible non-exempt staff)



- Review time entries and monthly absence reports
- Make updates as needed in **UChicago Time**





System Updates

- System automatically updates and sends information to Workday via integration file
- Automatic Workday Payroll updates via integration file

- (a) Student employees have multiple jobs and often record hours on the wrong job in the system; this increases the need for retroactive FAS / payroll system adjustments and increases delayed payments
- (B) Lack of compliance as PTO requests and monthly absence reports are often recorded and approved retroactively
- c Lack of reporting available in UChicago Time means Local Units have to generate their own audit reports to catch mistakes
- (D) Incorrect PTO accruals often cause the University to lose money when employees leave due to wrong pay out amounts
- (E) Lack of integration between UChicago Time and Workday systems leads to the need for paper time cards and manual time entry of new hires





Tomorrow: H09 Time & Attendance



Employee

Employee

Faculty / Department Chair / **Local Unit Manager**

Workday







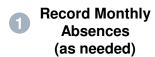












- · Record monthly absences in Workday (benefits eligible exempt staff) - employees receive auto-notification
- · Staff receive notification of past due reports (3 months)

Record Hours Worked and **Absences** (as needed)

· Record hours worked and absences in Workday (benefits eligible and ineligible non-exempt staff) employees receive autonotification

Review and Approve Time / **Monthly Absence** Reports

- · Review time entries and monthly absence reports (managers can view employees on PTO) - time approvers receive autonotification
- Make updates as needed in Workday
- Re-route incorrect time entries to the appropriate approver

System Updates

· Automatic Workday Payroll updates - directly linked to employee's record in Workday

- (A) Increase compliance by reminding employees to enter time / absences proactively and by notifying employees when a change has been made
- (B) Enhance the approval process and increase time submission accuracy by allowing managers to correct hours and re-route to correct time approvers when hours are recorded on the wrong job (i.e., student employees with multiple jobs) by implementing Workday Time & Attendance module
- © Increase usability of monthly absence report which will allow managers to have an accurate monthly view of their workforce availability
- D Improve accuracy of PTO accruals, time entry, and payroll information by managing in the same system (e.g., Workday)
- (E) Eliminate duplicate systems, manual entries/paper time cards, and delayed payments due to the limited integration between Workday and UChicago Time system by implementing Workday Time & Attendance module
- (F) Increase communication and notifications to enhance transparency and encourage responsibility





Today: H10 Payroll

Central HR





Central HR





HR Partner





Central HR





Central HR



- Generate payroll process in "draft" mode
- · Generate audit reports

2 Review Draft Payroll Report

- Identify and correct anomalies
- Contact HR Partners to fix anomalies if there is time before closing

Make Corrections

- Correct compensation or general HR issues as time allows and as aware with limited visibility
- Notify Payroll Director corrections have been made

Generate Final Payroll Process

- Generate payroll process in "final" mode
- Generate and review audit reports
- Correct anomalies and generate "pay complete", "settlement" and "check creation" processes

Process Debit File

- Automatic generation and sending of ACH/Debit file to bank
- Confirm external bank deposits payroll earnings into employee bank accounts

Central HR











ITS





Central HR



Prepare Pay Cards and Paper Checks

- Create pay cards and roster of employees receiving pay cards – direct deposit has not been set-up
- Send notification to employees to pickup pay cards
- Print checks and send to Bursar's office for distribution
- Send report to HR Partners to pickup checks

Create Payroll Activity Repository File

 Create and send Payroll Activity Repository file to ITS

Payroll Activity Repository File Upload and Reporting

- Upload Payroll Activity Repository file to main frame
- · Create file for general ledger
- Generate error report, create IRF file, and update general ledger

9 Completion

Notification

- Receive and review error report (if necessary)
- Receive paper forms from HR Partners to process ondemand payment requests and payroll adjustments

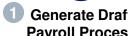
- A Lack of payroll reports during the "draft" payroll mode lead to high volume of corrections, on-demand payment requests, and challenges for HR Partners to analyze and report errors within a timely manner
- Inconsistent instructions and lack of communication to employees to sign up for direct deposit lead to high volume of pay cards. Responsibility on HR Partners to collect and disseminate checks for employees
- Payroll adjustment and on-demand payment requests are all paper-based processes

Tomorrow: H10 Payroll



Shared Services





- Generate payroll report in "draft" mode
- Generate audit reports and prepare payroll reconciliation report
- Fix issue with Workday team & IT as necessary
- Send notification to HR Partners when payroll reconciliation report is available

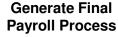
HR Partner







Shared Services



- Generate reconciliation repot Generate payroll process in Review report "final" mode
 - · Generate and review audit reports
 - · Correct anomalies and generate "pay complete", "settlement" and "check creation" processes
 - Process payroll adjustments and errors requested by HR **Partners**

Shared Services











Generate Draft Payroll Process



Make any necessary

to payroll closing

corrections in Workday prior

• Submit request to Shared

Services to process payroll

adjustment or to correct an

error prior to payroll closing

(A)(B)

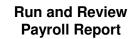
Process Debit File

 Automatic generation and sending of ACH/Debit file to

bank

· Confirm external bank deposits payroll earnings into employee bank accounts

Shared Services



- · Create pay cards and roster of employees receiving pay cards
- Send report to HR Partners to notify employees to pickup pav cards
- Print checks and send checks directly to employee's home address listed in Workday





Tomorrow: H10 Payroll



Shared Services





 Create and send Payroll Activity Repository file to ITS



ITS





Payroll Activity Repository File Upload and Reporting

- Upload Payroll Activity Repository file to main frame
- Create file for general ledgerGenerate error report, create
- Generate error report, create IRF file, and update general ledger

Shared Services



- Receive and review error report (if necessary)
- Receive <u>online requests</u> <u>through ServiceNow</u> to process on-demand payments and payroll adjustments

- (A) Create payroll reconciliation report for HR Partners to have visibility of payroll results and make corrections prior to payroll closing
- B Centralize correction process for transparency, response time, and reduction of costly on-demand payments
- © Promote direct deposit during onboarding to limit pay card usage
- D Mail checks to employees' home address to reduce the responsibility of HR Partners and eliminate handoffs and delays with getting payment
- E Automate all payroll forms and centralize receipt and processing of adjustments, on-demand payments, and overpayments collection within Shared Services





Today: H11 Exits (Voluntary Exits)



Employee HR Partner / Faculty / Department Chair / Local Unit Manager

HR Partner

Employee

HR Partner























 Submit verbal or written resignation to Manager or HR Partner



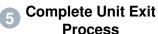
- · Receive resignation
- Acknowledge receipt of resignation
- Request quick closure (if necessary)
- Verify accruals in UChicago Time



- Submit termination in Workday
- Upload resignation letter and accrual report
- Determine if position needs to be filled or closed



- Update personal information in Workday
- Return office equipment and keys



- Retrieve badge and equipment
- Remove from unit-specific lists
- · Conduct exit interviews (optional)
- Notify OIA if employee is foreign national

- (A) Items collected and checklists are not standardized across units, and difficult to track all the items an employee has received and needs to return before departure
- B Accruals are not always accurate due to inconsistent approvals, leading to manual verification by Division / School Seniors
- © Obtaining accruals report from UChicago Time and then upload into Workday is a manual process
- D Termination reasons coded into Workday are not standardized leading to incompliance and inaccurate coding for rehire
- Quick closure list is not comprehensive or well-maintained leading to delays and exposure of confidential information
- Exit interviews are not standardized nor do all units conduct them which leads to no insights into voluntary staff turnover





Wave 1 Uniform Administrative Wave 1 Uniform Academic

Tomorrow: H11 Exits (Voluntary Exits)

Employee

HR Partner / Faculty / Department Chair / Local Unit Manager

















Employee









 Submit <u>written resignation</u> to Manager or HR Partner



- Receive resignation
- Acknowledge receipt of resignation
- Request quick closure <u>via</u> <u>automated form</u> (if necessary)
- · Verify accruals in Workday

Complete Termination

HR Partner

- Submit termination in Workday
- · Upload resignation letter
- Determine if position needs to be filled or closed
- · Send exit checklist

4 Finalize Exit

- Update personal information in Workday
- Return office equipment and keys
- · Receive exit checklist
- Verify accruals in Workday
- Complete exit survey
- · Schedule exit interview

Shared Services



- Process quick closure request <u>via automated</u> <u>request</u> (if requested)
- Review and process termination in Workday

HR Partner





Complete Unit Exit Process

- Retrieve badge and equipment
- Remove from unitspecific lists

Shared Services





Complete University Exit Process

- · Conduct exit interviews
- · Generate exit reports
- <u>Auto-notification to OIA of foreign national exits to ensure all key visa information is processed accurately</u>

- Create a comprehensive checklist to standardize exit process across units and provide employees with key information Implement Workday Time & Attendance module to eliminate manual upload of accruals from UChicago Time to Workday
- © Enforce standard termination codes in Workday
- D Create streamlined and automated quick closure request process
- (E) Centralize the exit interview process and create a standardized survey to collect exit data and make insights into voluntary staff turnover





Today: H12 Student Employment (Hiring New Student Employee)



Faculty / Department Chair / **Local Unit Manager**

Division / School **Senior Administrators** Division / School Senior **Administrators**

Central HR

Division / School Senior Administrators























- Select student employee or request assistance with recruitment
- · Send notification to hire student employee



- · Confirm iob description and compensation with manger
- Determine job profile
- · Verify active work study funding (if applicable)



Create Position

- · Post position to recruit student employees (if applicable)
- · Assist with resume review and selection (if applicable)
- Create position in Workday
- · Verify total number of hours student will be working for all jobs and obtain approval (if necessary)
- Submit hiring process in Workday



Review and **Approve Position**

- Review and approve student employee position in Workday
- Audit job profile and supporting documents
- · Assign pay group
- · Review and approve compensation including period activity pay



- · Receive notification of approval
- · Add time approvers (if applicable)
- Send notification of onboarding process to new student employee and copy manager
- · Move student employee to onboarding stage

- (A) Lack of standardized procedures to hire student employees lead to incompliance and delays with payroll
- (B) Unclear handoffs between when and how Central HR can assist Local Units during student employment
- CLack of process for obtaining approval for student employee's working hours beyond the designated policy hours





Tomorrow: H12 Student Employment (Hiring New Student Employee)



Faculty / Department Chair / Local Unit Manager

Division / School Senior Administrators

Division / School Senior Administrators

Shared Services

Shared Services























- Select student employee or request assistance with recruitment
- Send notification to hire student employee

Determine Hiring Details

- Confirm job description and compensation with manger
- Post position to recruit student employees (if applicable)
- Assist with resume review and selection (if applicable)
- Request work study form from student employee (if applicable)
- Verify active work study funding (if applicable)

3 Create Position or Request Assistance

 Request assistance from Shared Services to complete the hiring process via Workday (if interested) or create position in Workday, assign compensation including period activity pay



Complete Hiring Steps

Complete hiring tasks
 if assistance is
 requested by the
 Division / School
 Senior Administrators:
 determine job profile,
 create position in
 Workday, and assign
 compensation
 including period
 activity pay



Review and Approve Position

- Review and approve student employee position in Workday
- Audit job profile and supporting documents
- Verify total number of hours student will be working for all jobs
- Send notification to the <u>Deans of Students if student</u> <u>employee is incompliant</u> <u>with total hours</u>
- Assign pay group
- Send automatic notification to Division / School Senior Administrators and student employee to start the onboarding process

- (A) Create standardized procedures to hire student employees and revamp processes in Workday
- B Clarify roles and responsibilities to provide clear handoffs where Shared Services can provide assistance (i.e. process hiring steps)
- © Streamline approval for student employee's working hours beyond the designated policy hours adding Shared Services to review all hours and send notification to the Deans of Students





PROCURE-TO-PAY*





Today: P02 Purchase Orders*



Local Unit Requestor

Local Unit Approver

Center of Expertise

CFO

Payment Services

























- · Identify purchasing needs
- Create purchase order in BuySite
- Complete and attach Price Reasonableness or Sole Source Justification form if required

Review and Approve Purchase Order

 Review and approve purchase order request, modifying as needed

Review and Approve Purchase Order (as needed)

- Review price reasonableness and sole source justification forms as appropriate
- Review equipment purchases for appropriate screening verification, contacting Radiation Safety when appropriate
- Review and approve purchase orders > \$25k
- Obtain CFO approval for purchase orders greater than \$250k
- Reject and return purchase order to requestor as necessary

Purchase Order Approval

 Review and approve purchase order request as needed



- Generate purchase order for new purchases in BuySite system
- Manually generate purchase order for standing orders every 4 months in APS
- Delete old purchase orders and create new orders in BuySite whenever corrections are required
- BuySite system sends purchase order to vendor

- (A) Lack of standard approval thresholds create legal exposure for certain transactions that should follow Uniform Guidance
- B Lack of account-based approvals limit an account owner's visibility into what and how much is spent against an account until after expenses have been incurred
- © Procurement system is not configured to handle standing purchase orders, forcing manual workarounds for repeat purchase orders against existing contracts
- D Procurement and financial system are not configured to handle purchase order revisions, preventing an audit trail for purchase order changes and creating the need for a manual workaround to make these revisions



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



Tomorrow: P02 Purchase Orders*



Local Unit Requestor

Local Unit Approver

Shared Services

Center of Expertise / CFO

Shared Services





























- · Identify purchasing needs
- · Create purchase order in BuySite
- · Complete and attach Price Reasonableness or Sole Source Justification form if required

Review and Approve Purchase Order

 Review and approve purchase order request. modifying as needed

Approve Purchase Order (as needed)

- Review price reasonableness and sole source justification forms as appropriate
- Review equipment purchases for appropriate screening verification, contacting Radiation Safety when appropriate
- · Send automated purchase order requests above Uniform Guidance** threshold to COE or CFO for review
- · Reject and return purchase order to requestor as necessary

Finalize **Purchase Order**

 Review and approve purchase order request above Uniform Guidance threshold in compliance with federal regulation

Purchase Order Generation

- · Generate purchase order for new orders in Buysite system
- · Generate repeat orders against existing contracts in Buysite
- · Generate new purchase order and flag revisions in BuySite system
- · BuySite system sends purchase order to vendor

- A Standardize approval structure across procurement systems by setting approval thresholds based on Uniform Guidance (B) Create transparency by implementing account-based approvals, requiring account owner to approve all transactions
- Configure procurement system to handle standing purchase orders, allowing for repeat orders against existing contracts
- Configure financial and procurement system to handle purchase order revisions to create an audit trail for purchase order revisions and eliminate manual workarounds



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



^{**} Uniform Guidance is the federal regulations that govern federal grants and contracts.



Today: P03 Receipt & Invoice Processing

External Vendor





 Send invoices to the University (can be sent to the Requestor, the Local Business Center, the Payment Solutions team, or multiple locations for the same invoice)

Local Unit Requestor

Receive /

Route Invoices

paper invoices from vendors



· Receive electronic and

· Re-route invoices sent to

the incorrect location







Local Unit Requestor /

Local Bus. Center

- Review invoices
- Review and approve invoice (in some Units)
- Sends invoices to central Payment Services team

Payment Services / Local Bus. Center







- Match invoice to PO
- Notify requestor of invoice discrepancies or missing PO number
- Send invoices to the requestor for approval (as needed)

Payment Services / Local Bus. Center



Send Invoice for Review / Approval

- Scan invoice to create a PDF version
- Send electronic copy of invoice to Local Unit (as needed if above tolerance)
- Continue to follow up with Local Unit to track review and approval of invoice (as needed)

Local Unit Requestor / Local Bus. Center











Payment Services

- Invoices (as needed)
- Review invoices (as needed)
 Remediate invoice errors and discrepancies (as needed)
- · Approve invoices (as needed)
- Enter invoice into financial system
- Correct any errors with invoices (delete and re-enter as necessary)
- System submits payment once PO terms are satisfied

- (A) Invoices are sent to multiple locations on campus leading to vendor confusion, payment delays, and "lost" invoices
- (B) Invoice entry is a manual process that can lead to data entry errors
- The approval process for invoices is inconsistent across Local Units and time intensive leading to lack of accountability, confusion, wasted time, and in some instances late payment penalties
- DSystem limitations do not allow revisions to invoices. Instead the invoice must be deleted and then manually re-entered









Tomorrow: P03 Receipt & Invoice Processing

External Vendor









Shared Services





Local Unit

Requestor







Submit **Invoices**

· Send all invoices to one central off-campus address

Receive and Digitize Invoices

Invoice 3rd Party

Processor

- Receive electronic and paper invoices from vendors
- Utilize image processing software to digitize invoices
- · Place invoices in an electronic queue that Shared Services can receive, review, and approve

Match Invoice to Purchase Order (PO)

- · Match invoices in queue against PO and against receiving forms (as needed)
- Notify requestor of invoice discrepancies
- · Send electronic copy of invoices above policy threshold to the requestor for approval (as needed)



- Review invoices as appropriate
- · Remediate invoice errors and discrepancies (as needed)
- Approve invoices over policy threshold or as otherwise required
- · Create an "after the fact PO" if a PO does not exist

Shared Services





Pay Invoice

- Invoice information is manually entered or loaded directly into financial system
- System submits payment once PO terms are satisfied

- (A) Create one single location for all invoices to be sent to in order to better track and manage invoice receipt and processing
- (B) Remove manual data entry and associated errors by replacing these steps with automated scanning and data entry technology
- © Standardize invoice review and approval process, which in some instances will help avoid late payment penalties, and remove duplicative approvals and allow the University to take better advantage of discounts
- D Remove duplicative data entry that occurs when incorrect invoices need to be deleted and re-entered by altering the APS technology to allow for these edits







Today: P04 Contracts



Local Unit Requestor

















Contract Initiation

- · Receive proposed contract from vendor
- Complete paper Form 100
- Send forms and obtain approval for expenditure from approver

Approve Contract Request

Expense Approver

- · Review and approve contract request
- Sign Form 100 and return to requester



Contract **Submission**

Local Unit Requestor

· Send form and supporting documents to Procurement



Contract Review and Approval

Procurement

- Review contract and supporting documents, following up with requestor on open questions
- · Review contract for legal exposure
- Negotiate and finalize contract











Procurement



Review and Approve (as needed)

· Review and approve contracts > \$200k



Finalize Contract

- · Generate contract
- · Save contract in FileMaker
- · Send contract to Vendor
- · Forward contract back to requestor

- (A) Form 100 is a paper form than cannot be transmitted electronically, thus it must be routed in person to collect signatures, creating processing delays
- B Procurement contract experts review a high volume of standard contracts, limiting the amount of time that can be dedicated to reviewing complex, non-standard contracts



Wave 1 Uniform

Procurement

Tomorrow: P04 Contracts

Local Unit Requestor









Expense Approver





Shared Services







Contract Initiation

- Receive proposed contract from vendor
- Complete electronic request form and attach needed documents

Approve Contract Request

· Review and approve contract request within automated system



- Review contract and supporting documents, following up with requestor on open questions
- Review contract for legal exposure
- · Negotiate and finalize contract, escalating to COE as needed

Review and Approve (as needed)

- · Negotiate and finalize contract (as needed)
- Review and approve contracts







Review and Approve (as needed)

· Review and approve contracts







Finalize Contract

Shared Services

- Generate contract
- · Save contract in FileMaker
- · Send contract to Vendor
- · Forward contract back to requestor

- (A) Reduce the need for manual handoffs and paper based approvals, making both electronic in ServiceNow
- B Add additional resources to contract team to process standard, non-complex contracts that do not require negotiation of nonstandard terms to reduce the workload on the CoE. The CoE in turn is then able to focus on larger, more complex strategic contracts

Today: P05 Non-Purchase Orders



Local Unit Requestor

Local Unit Approver

Payment Services

Center of Expertise

Payment Services





















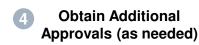
- Identify purchasing needs
- Create check request payment in ePayment system
- Select payment type and complete documentation
- Communicate with vendor to collect W9 or other required documents

Review and Approve Request

- Review forms and documentation
- · Approve check request

Process & Approve Request

- Process request
- Review and approve payments over \$5k
- Audit random sample of request
- Reject and return transaction to requestor as necessary



- Obtain Payroll approval for payments to reportable vendors over \$500
- Obtain CFO approval for payments over \$200k
- **5** Complete Payment
 - Transfer payments from ePayment to financial system each night
 - Send payment file to bank for payment

- (A) Local unit has to collect W9 which can be time consuming and causes confusion
- (B) Employees sometimes use ePayment to make purchases that should be processed on a purchase order (PO) through BuySite leading to legal exposure for certain transactions











Tomorrow: P05 Non-Purchase Orders

Wave 1 Uniform

Local Unit Requestor

Local Unit Approver

Shared Services

CFO

Shared Services



















Complete Request

- · Identify purchasing needs
- · Create check request payment in ePayment system
- · Select payment type and complete documentation
- Communicate with vendor to collect W9 or other required documents (optional)

Review and **Approve Request**

- · Review forms and documentation
- · Approve check request

Process and Approve Request

- · Process request
- Review and approve payments over \$5k
- · Audit random sample of request
- · Reject and return transaction to requestor, as necessary
- Communicate with vendor to collect W9 or other required documentation as needed

Obtain Additional Approvals (as needed)

· Obtain CFO approval for payments



- Transfer payments from ePayment to financial system each night
- Send payment file to bank for payment
- Analyze payment transactions to inform future system changes

- (A) Reduce the administrative burden on local units and increase compliance by having Shared Services assist with the collection of W9 and tax documentation for payees
- (B) Encourage and educate employees to shift certain types of purchases from ePayment to purchase orders (POs) in BuySite in order to limit legal exposure





Today: P06 Expense Reporting*



Unit Individual / Admin

Expense Approver

Additional Approvers

Payment Services

Payment Services / Payroll



















1 Complete Business Expense Report

GEMS card expenses:

individual or delegate

and uploads receipts in

Out-of-pocket expenses:

individual or delegate

and uploads receipts in Concur (GEMS)

Submit expense report to

Concur (GEMS)

approver

completes expense report

completes expense report

- 2 Review & Approve Report
- Review and approve expense report
- Review & Approve Report (as needed)
- Review and approve as needed
- Perform Reviews and Audits
- Review and approve expense reports over policy threshold (as needed)
- Conduct critical review of randomly chosen expense reports (receipts, compliance, accuracy)

- Process Payment
- Concur system transfers out-of-pocket expense data into Workday which generates payment to individual
- Concur system transfers accounting data into financial system

- A Expense report generation is a cumbersome process that requires several unnecessary details for expenses, such as itemization of hotels and business purposes for travel meals (i.e., not required by policy)
- B Completing expense report requires end users to log into and navigate an unfamiliar system
- C Inconsistent approval requirements between Local Units leads to delays in processing times
- Lack of account based approvals limits account owner visibility into spend until after expenses have been incurred
- E Payment Services audits a small portion expense reports which means expense reports may contain errors or are not compliant with University or Federal policies



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



Tomorrow: P06 Expense Reporting*



Unit Individual / Admin

Shared Services

Expense Approver

Payment Services / Payroll















Complete Business Expense Report

- GEMS card expenses: individual or delegate receives email listing all credit card transactions and forwards email to Shared Services, filling in the business justification for each expense and attaching receipts
- Out-of-pocket expenses: individual or delegate completes <u>ServiceNow</u> expense form for out-of-pocket expenses, attaches receipts, and submits <u>ServiceNow form</u> to Shared Services
- Cardholders will retain ability to enter own expenses

Review & Approve Report

- Conduct critical review of <u>all expense reports</u> <u>prepared by Shared</u> <u>Services (receipts,</u> compliance, accuracy)
- Follow up with individual or delegate for additional information (as needed) for reports prepared by Shared Services
- Enter expense report into Concur (GEMS)
 Submits expense report to
- approver

Review & Approve Report

 Review and approve expense reports



Process Payment

- Concur system transfers out of pocket expense data into Workday which generates payment to individual
- Concur system transfers accounting data into financial system
- Conduct <u>post-payment</u>
 critical review of randomly
 chosen expense reports not
 prepared by <u>Shared</u>
 <u>Services</u> (receipts,
 compliance, accuracy)

- (A) Simplified required information for expenses, such as eliminated itemization for hotels and justification for travel meals
- B Create an improved customer experience through enabling expense report submission in ServiceNow or via email
- c Standardize approval requirements between Units
- D Create transparency by implementing account-based approvals, requiring account owner to approve all transactions
- E Increase compliance and accuracy by having expense reports reviewed by Shared Services (when Shared Services is the expense report delegate)



^{*} Process may be moved to a preceding Wave dependent upon the timing of technology and other enhancements.



Today: P07 Vendor Creation



Local Unit Requestor











External Vendor / Payee





Submit Create or Modify Vendor Request

- · Identify need for new vendor
- · Submit request for new vendor through variety of methods depending on purchasing system (email, phone)
- · For new vendors created in ePayment, attach vendor's W9

Process Request

Payment Services

- Complete applicability review and check for existing vendors
- · Receive update or new vendor request information (via multiple channels including email, phone, vendor letter)
- Review vendor information for applicability and accuracy of information
- · Email BuySite vendors application form to complete

Confirm Information

- · Complete form or verify updates to information
- · Send form and updates through email correspondence

Finalize Setup

Payment Services

- · Review and confirm information received from vendor via email or phone
- · For non-purchase orders, approve transactions and manually create new vendor in APS
- · For purchase orders, manually enter the vendor information into FileMaker and the financial system (APS)

- (A) Local units communicate with vendor to collect W9, which can be time consuming and cause confusion as local units are not clear on requirements for setting up independent contractors
- B Information collected for vendors is limited and inconsistent across systems
- (c) Taxpayer Identification Numbers (TINs) are not required for all vendors causing duplicate entries and potential IRS Bnotices (fines)





Tomorrow: P07 Vendor Creation



Local Unit Requestor







Shared Services





External Vendor / Payee







Submit Create or Modify Vendor Request

- · Identify need for new vendor
- · Submit electronic new vendor create or update request via service-oriented helpdesk
- · For new vendors created in ePayment, attach vendor's W9 if available

Process Request

- Complete applicability review and check for existing vendors
- Send link to enter and confirm information through vendor portal to vendors/pavees

Enter Information

· Complete form and enter associated information (e.g., W9) in vendor portal

Finalize Setup

Shared Services

- · Review and confirm information received from vendor through electronic form
- · Complete compliance checks including check for debarred status through TIN Matching
- For non-purchase orders. approve transactions and manually create new vendor in APS
- · For purchase orders. manually enter the vendor information into FileMaker and the financial system (APS)

- (A) Reduce the administrative burden on local units by having the Shared Services Office assist in communicating with vendors, including the collection of W9 and tax documentation for payees
- B Create vendor portal where vendors will enter complete information regardless of payment method. Information collected will form basis of vendor repository for new financial system
- © Perform additional audits on vendor information and enforce TIN matching for all new vendors





FINANCE



Wave 1 Uniform

Today: F01 Unit-Level Budget Planning

Central Budget Office

Unit / Division / **Department Budget Office**

Unit / Division / **Department Budget Office Department Budget Office**

Unit / Division /

Central Budget Office





















· Provide University-wide budget assumptions and projections

Update Unit / Division / Department Budget

- Manually populate Unit / Division / Department budget with budget and prior period actuals
- · Integrate University-wide and Unit / Division / Department budget assumptions and projections
- · Revise and finalize the budget

Convert Unit / Division / **Department Budget**

 Manually convert and upload budget outputs into Delphi and Workday

Identify and **Describe Variances**

- Identify quarterly variances based on local unit tools and methods
- Generate variance report based on static forecasts
- · Discuss with Department Chairs

Review **Variance Report**

- · Review Unit / Division / Department budget data and variance report for variance thresholds and accuracy
- Provide feedback for Unit / Division / Department Budget Office to make updates and take action

- (A) Inconsistent identification and use of budget inputs (e.g., staffing projections) leads to varied budget outputs
- (B) Manual effort to convert and upload budget information into Delphi and Workday
- c Forecasts not consistently updated on a periodic basis leading to less impactful quarterly variance reporting
- (D) Resource intensive effort to complete quarterly variance reporting activities due to detailed nature of required review
- E Inconsistent interpretation of Unit / Division / Department budgets, forecasts, and variances leads to an inability to track the University's overall financial performance and results in decisions based on incomplete data





Wave 1 Uniform Administrative Wave 1 Optional Academic

Tomorrow: F01 Unit-Level Budget Planning

Central Budget Office





 Provide University-wide budget assumptions and projections

Shared Services



Draft Unit / Division / Department Budget

- Pre-populate Unit / Division / Department budget with budget and prior period actuals
- Integrate University-wide and Unit / Division / Department budget assumptions and projections

Unit / Division / Department Budget Office / Shared Services







- Evaluate pre-populated Unit / Division / Department budget for accuracy
- Collaborate to refine budget outputs
- <u>Unit / Division / Department Budget</u>
 Office finalizes budget

Shared Services



Convert Unit / Division / Department Budget

 Convert and upload budget outputs into Delphi and Workday using budget upload templates

Central Budget Office







Unit / Division / Department

Budget Office / Shared Services



Central Budget Office





Review and Approve Budget

- Review and evaluate submitted budget for variance thresholds and accuracy
- Advise Unit / Division /
 Department Budget Office and
 Shared Services on any required changes

ldentify and Describe Variances

- Monitor and identify monthly variances that exceed standardized thresholds
- Generate variance report based on <u>current forecasts</u>
- Partner to derive insights and review corrective actions

Review Variance

 Review <u>and provide feedback on</u> monthly performance

Report

 Conduct regular meetings with Unit / Division / Department Budget Office to develop remediation strategies

- A Standardize collection of budget inputs (e.g., staffing projections) to increase consistency of budget development processes
- B Save local unit time and effort by pre-populating and converting Unit / Division / Department budget model outputs
- © Refresh forecast periodically to align with monthly variance reporting activities
- D Regularly monitor expenses to inform monthly variance reporting requirements to reduce review efforts
- Consistent interpretation of Unit / Division / Department budgets, forecasts and variances improves the ability to track and monitor the University's overall financial performance

Today: F02 Account Management

Local Unit Staff







Center of Expertise







Center of Expertise



- Complete electronic or paper-based account request form
- Submit account request to the Center of Expertise via email or ACCTS

2 Review Account Request

 Receive and review account request form for completion and gather missing information needed to meet system setup requirements

3 Approve Account Request

- Manually enter paper forms into ACCTS
- Approve account request in ACCTS

- A Individuals without direct knowledge and accountability for an account's financial performance review and approve account requests
- B Center of Expertise is involved in approving account requests regardless of funds type (e.g., department funds) resulting in workload volume and capacity issues
- © Limited formal procedures or compliance reporting exists to effectively monitor changes in authorized signers





Tomorrow: F02 Account Management



Local Unit Staff







Local Unit Manager /

Authorized Signer

Review and

Approve Account

Request · Receive and review account

request form for accuracy and

completion and supporting

documentation





Center of Expertise



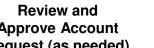


Review and **Approve Account** Request (as needed)

- · Receive and review account requests that impact specialized accounts
- request in ACCTS

Shared Services





- · Approve specialized account

Monitor **Account Requests**

 Monitor account requests using ACCTS, FAS, and Business Objects to support financial system compliance and reconciliation needs

Complete **Account Request**

- Complete electronic-only account request form
- Route account request to **Authorized Signer via ACCTS**

account request in ACCTS Route requests for

Approve non-specialized

specialized accounts (e.g., plant accounts) to the Center of Expertise via ACCTS

- (A) Establish clear standards of who can be an authorized signer and align authority for reviewing and approving account requests to those individuals with direct knowledge and accountability for the financial performance of the account
- B Filter only the specialized account requests (e.g., plant, debt accounts) through the respective Centers of Expertise to reduce workload volume / bottleneck issues and align account activity to accountable personnel
- (c) Improve systems access compliance by proactively monitoring critical University systems to ensure appropriate system controls and policies are being followed and enforced
- (P) Provide recommendations on how to more effectively structure Local Unit accounts to improve visibility into financial results leading to greater awareness of account portfolio and to better management decisions





Today: F03 Account Transactions

Local Unit Staff









Center of Expertise



Initiate Account Transaction

- Initiate account transaction
- Route account transaction to Center of Expertise via **ACCTS**

Review and **Approve Account Transaction**

- · Receive and review account transaction to confirm basic elements seem appropriate
- Approve account transaction in ACCTS

- (A) Individuals without direct knowledge and accountability for an account's financial performance review and approve account transactions which can lead to unauthorized or unknown postings to accounts
- (B) Center of Expertise is involved in all account transactions regardless of fund type (e.g., department funds) resulting in workload volume and capacity issues





Wave 2 Uniform

Tomorrow: F03 Account Transactions

Local Unit Staff











Initiate Account Transaction

- Initiate account transaction
- Route account transaction to the proper Authorized Signer of each account via ACCTS

Review and Approve Account Transaction

Authorized Signer

- Receive and review account transaction to confirm supporting documentation is acceptable and proper accounting is followed
- Approve account transaction in ACCTS

- (A) Authorized signers, those individuals with direct knowledge and accountability for the financial performance of the account, review and approve account transactions, which improves audit trails and strengthens internal controls
- (B) Authorized signers review and approve all transactions before they post and the Centers of Expertise only review and approve transactions that are more specialized (e.g., debt transactions, higher risk transactions), leading to reduced workload volume and capacity issues within the Centers of Expertise





Today: F04 Capital Asset Accounting



Local Unit Staff





- Complete paper disposal request form and provide necessary documentation based on asset type
- Submit disposal request form manually to all necessary reviewers via email

Department Chair





- Receive, review, and approve disposal request form for compliance and completion
- Submit approved form to Capital Asset Accounting via email

Center of Expertise







Local Unit Staff

- 3 Process Disposal Request
- Generate transfer memo if asset will be transferred
- Provide fair market value if asset will be sold or traded-in
- Receive and manually key in disposal request form information into property management system
- · Remove asset from asset register

- Dispose of Asset
- Dispose of asset
- Apply proceeds to proper account and return funds to sponsor, if applicable

- A Time-consuming effort to complete and manually submit paper request form
- B Limited oversight and guidance to track that local units properly dispose of assets
- CInconsistent processes and lack of oversight for the collection and return of proceeds from asset sale and trade-in





Tomorrow: F04 Capital Asset Accounting



Local Unit Staff



















- Complete electronic disposal request form and upload necessary documentation based on asset type
- Route disposal request form automatically to all necessary reviewers via ServiceNow

Department Chair





- · Receive, review, and approve disposal request form for compliance and completion
- Route approved form automatically to Capital Asset Accounting via ServiceNow

Process Disposal Request

· Generate transfer memo if asset will be transferred

Center of Expertise

- · Provide fair market value if asset will be sold or traded-in
- · Receive and review request for compliance and provide an audit trail that documents guidance for the disposal of grant-funded assets
- Remove asset from asset register

Local Unit Staff





Dispose of Asset

- Receive notification of disposal authorization automatically via ServiceNow
- Remove asset tag
- Dispose of asset according to <u>quidan</u>ce
- Apply proceeds to proper account and return funds to sponsor, if applicable

- (A) Electronic asset disposal form created in ServiceNow
- BImprove the visibility of local unit asset disposal authorizations by enabling automated approval workflows in ServiceNow
- © Provide guidance to local units on asset disposal and track the collection and return of proceeds from sale and trade-in





Today: F05 Accounts Receivable

Local Unit Staff





- Prepare invoice and submit to External Vendor via various methods
- Document invoice in local system of record (e.g., QuickBooks)

External Vendor





- Receive invoice
- Send payment to Local Unit by various methods (e.g., check)

Local Unit Staff



Receive and Document Payment

- Document received vendor payments in local system of record (e.g., QuickBooks)
- Manually submit deposit form to the Bursar's Office via courier
- If External Vendor payment is unknown, follow local process, if there is one

Bursar's Office



4 Receive and Process Payment

 Receive deposit form and deposit External Vendor payment into bank account

- (A) Use of shadow systems that are not linked to the main financial system results in lack of visibility into the accounting and financial status for non-grant receivables
- (B) Resource intensive invoice creation process due to existing manual invoice creation and distribution processes
- © Time consuming deposit process due to the requirement to complete a paper form and submit it outside of any system
- D Lack of centralized receivables process reduces transparency into the collection and aging activities of accounts receivables and unidentified receipts





Wave 1 Uniform Administrative Wave 2 Optional Academic

Tomorrow: F05 Accounts Receivable

Shared Services

Local Unit Staff











External Vendor





Bank



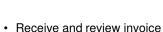




- Prepare <u>electronic</u> invoice <u>request and</u> <u>attach required</u> <u>documentation</u>
- Route invoice request automatically to Shared Services via ServiceNow

AB SQ

Generate Invoice



 Generate and submit invoice to External Vendor via email

request for completion

3 Submit Payment

- Receive invoice
- Send payment to lockbox

Receive and Process Payment

- Process External Vendor payment into bank account <u>from lockbox</u>
- Generate lockbox activity report and make it available to Shared Services for further processing and tracking

Shared Services



- Document External Vendor payment in <u>centralized</u> system of record
- Identify and track unknown and unreceived payments

- (A) Standardize accounting and tracking for non-grant receivables by leveraging automated system in Shared Services, eliminating the need for shadow systems
- (B) Reduce Local Unit effort by automating and centralizing the generation of External Vendor invoices using an automated system in Shared Services
- © Replace manual deposit process with automated and centralized recording, collection, and processing of A/R payments
- D Actively monitor and report on collection and aging of outstanding receivables and unidentified receipts to increase A/R transparency and improve timeliness of Local Unit cash flows







Today: F06 Financial Reporting

Unit / Division / Department Budget Office / Local Unit Staff

Unit / Division / Department Budget Office / Local Unit Staff

Business Intelligence Team













Develop Financial Reports

- Generate internal financial report using standard financial reports
- Conduct ad hoc analysis on financial reports
- If no standard report is available and if aware of how to do so, create customized financial report that may contain customized report fields

Request Financial Reports

Request assistance from the Business Intelligence Team to develop customized financial reports via email



Generate Financial Reports

- · Create customized financial reports based on local unit and Unit / Division / Department **Budget Office requests**
- · Distribute financial reports to the requesting party via email and/or Business Objects

- (A) Limited knowledge of existing financial reporting capabilities and varying degrees of local unit reporting needs drive frequent and time-consuming creation of customized financial reports
- (B) Frequent use of customized financial reports contributes to inconsistent interpretations of reporting outputs across different local units and Unit / Division / Department Budget Offices, significantly increasing the level of effort needed to derive consistent data-driven insights and negatively impacting financial decision-making ability
- C The process to request new financial reports between local units and Unit / Division / Department Budget Offices and the Business Intelligence Team is time-consuming and prone to delays





Wave 1 Uniform Administrative Wave 1 Optional Academic

Tomorrow: F06 Financial Reporting

Shared Services / Business Intelligence Team





- Partner with the Business
 Intelligence Team to develop
 standard and customized
 internal financial reports
- Conduct <u>standardized</u> analysis on financial reports
- Generate and distribute

 standard and customized

 financial reports to local units

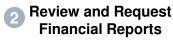
 and Unit / Division /

 Department Budget Offices via

 email and/or Business Objects

Unit / Division / Department Budget Office / Local Unit Staff





- Evaluate analysis conducted by Shared Services for accuracy and request necessary changes
- Request additional financial reporting assistance, as needed, via ServiceNow

Shared Services / Business Intelligence Team







 Partner with the Business Intelligence Team to refine standard and customized financial reports

- A Creation and distribution of standardized reporting templates reduces administrative burden of Unit / Division / Department Budget Office and local units, leading to uniform reporting outputs while reducing effort on building customized reports
- B Standardized financial reporting packages not only unify reporting methods, but also support consistent data interpretations and improves financial decision-making
- © Partnership between Shared Services and the Business Intelligence Team provides robust and timely support to local units and Unit / Division / Department Budget Offices, including a timely process for requesting new financial reports



