HRS Coordinators

May 22, 2014
1 – 2:30 p.m.
Room 1106/1108, 21 N. Park
Agenda

• Data Security
• Separation of Duties
• Prepays
• Pay Plan Load and HRS Entry
• Summer Hires
• Summer – Out of Country
• Payroll Audit Recommendations
• Funding and Fiscal Year End
• Training Update
  – Glacier
  – WED
• Miscellaneous
• Next Meetings
Data Security –
Electronic and Paper files

• Data security – trend to think only about electronic data
• Paper files must be secure
• Recent incident involving unauthorized access to office suite – employee benefit files accessible
• University Response
  – Police investigation
  – Review records for Personal Information and Protected Health Information
  – Administrative Leadership Team determines if notification required under §134.98 Wis. Stats. or HIPAA
Data Security – Electronic and Paper Files

• Cost
  – Financial
    • Staff and administrative time
    • Expenses associated with notification and investigation
    • No central fund – unexpected costs to unit
  – Reputational
    • Employee and public trust
    • Media attention
    • Personal impact to affected individuals
• Security
  – Establish protocol for securing records
  – Conduct periodic reviews of work stations
  – Secure paper records in locked cabinets when not in use
  – Document who has access to locked materials
  – Check Data/Memory of copiers when copying and scanning
  – Shred what you don’t need or send to secure storage
LAB’s FY13 report in January 2014 identified concerns with HRS security, including lack of separation of duties

Conflicts

- UW-Madison HRS security role conflicts at division/department levels (501)
  1. Person or Job data updates, i.e., Student Help, SH Template, HR Administrator AND Time Payroll Coordinator or Supervisor/Approver
  2. Updating/Person/Position/Job AND Custody or Distribution of Paper Checks
  3. Requests for Add’l Pay (lump sums) AND Entry into HRS
Resolving Conflicts

First Deadline 5/22; additional reviews/changes to continue thru mid-June

• Sessions held with divisional liaisons and security approvers to discuss Conflict #1 (prior slide)
• Divisions are reviewing each case and removing as many conflicts as possible
• Divisions also identifying potential security role issues, e.g., new update or view roles that would not cause a conflict
• Security system (OIM) being updated with the role changes, e.g., changing from update to view only, removing roles not needed or to prevent conflict
• PWC will review progress and options for remaining conflicts
Remaining Conflicts

Conflict #1:

- Interim solution
  - Compensating (Mitigating) Controls Report
  - Process must be in place by end of May or early June
  - Report will be run every Sunday evening
    - Will identify transactions that breached controls, i.e., the same person entered job data and also approved time and leave for the same employees
  - Supervisor or other authorized official will need to independently verify and sign off on the Compensating Controls Log/Report by the following Friday
Remaining Conflicts

Conflict #1

- Long-term solution
  - Still to be determined
  - Needs to be consistent with other internal controls put in place
  - Create focus group/s to discuss possible options
    - Analyze workflow and staffing patterns
    - Consider centralization vs decentralization, hubs, employee self service, etc.
Addressing other conflicts

**Conflict #2: Chain of Custody**
- Tracking distribution of hardcopy checks
- Process being designed

**Conflict #3: Additional Pay**
- Tracking of additional pay (lump sums)
- Form being created for approval process
LAB’s FY13 report in January 2014 identified concerns with HRS security.
PWC will review the actions we have taken between now and June 30; they will provide validation and feedback for the UW’s interim solution.
UW System will report to the Joint Legislative Audit Committee on July 1.
As part of the annual audit cycle, LAB already did entrance conference for FY14; new findings expected January 2015.
**Prepays**

- No prepays or benefits billing but August 24 EJED
  - List to divisions for review
  - Set up benefits billing OR
  - Change end date to May 25 (WiscIT)
    - MSB will provide COBRA notice
- Prepays taken but job ended May 25
  - Is the entry correct?
  - If so, refund has been or will be provided
    - COBRA notice will be sent
  - If not, change end date (WiscIT) and need for repayment for summer coverage, i.e. benefits billing
Load occurring weekend of May 31

Job data entry should not occur from Friday, May 30 at 5 p.m. until load has been completed

Anticipated completion is by Monday, June 2 at 6 a.m.

Notification will be sent when process complete so you can resume entry of job data
JEMS Summer Hire allows summer appointments to be set up without a waiver when the following conditions are true:

• Person holds an active C-basis appointment
• Continuity is renewable (01, 03, 04) or the continuity is terminal (02, 05) and the Expected Job End Date is after the end of the current academic year
• The terms of the academic year job (title, rate, department) do not need to change for the summer job.
Waivers Required When...

- **Employee does not have an “active” C-Basis job in HRS**
- **Summer job is in a different department**
- **Job code for a summer job is different**
  
  *Use JEMS-Hire to hire this type of employee.*
- **Pay rate for a summer job is different**
Scenario #1

Peter Paul signs a contract to teach this summer. He is in a C-Basis Faculty Position. His position will go on a short work break at the end of the academic calendar.

What needs to be done to complete Peter’s hire into the summer teaching position?
### Scenario #1-Response

<table>
<thead>
<tr>
<th>JEMS Summer Hire (C-Basis Employee)</th>
<th>Tab</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Find the person (and Empl Rec) in JEMS Summer Hire</td>
<td>Find/Add Hire</td>
</tr>
<tr>
<td>2 Enter the Pay Rate</td>
<td>Find/Add Hire</td>
</tr>
<tr>
<td>3 Click on the “Add Hire” button.</td>
<td>Find/Add Hire</td>
</tr>
<tr>
<td>4 Enter the FTE</td>
<td>Position Tab</td>
</tr>
<tr>
<td>5 Enter the Effective Date of the Job</td>
<td>Job Tab</td>
</tr>
<tr>
<td>6 Enter the Expected Job End Date</td>
<td>Job Tab</td>
</tr>
<tr>
<td>7 Submit/Approve &amp; Send to HRS</td>
<td>Actions Menu</td>
</tr>
</tbody>
</table>
Chad Chadwick is hired for an Instructional Staff position for the fall (original hire), however he will also be working in the summer.

*What needs to be done in this situation?*
### Scenario #2 - Response

**Academic New Hire Working in the Summer**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong></td>
<td>Check the PVL to make sure the Assured Consideration Date has passed.</td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>Create the C-Basis job in JEMS-Hire first, using the same effective (hire) date as the intended summer position.</td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>Manually place Chad’s C-basis job on a short work break with the same effective date as the hire; use sequence #1 in <strong>HRS</strong>.</td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>Create a PVL waiver for the summer position with the same effective date.</td>
</tr>
<tr>
<td><strong>5</strong></td>
<td>Once APO approved, complete hire in JEMS.</td>
</tr>
</tbody>
</table>

**System**

- PVL
- JEMS-Hire
- HRS
- PVL
- JEMS
Tom Thompson is hired for an Instructional Staff position for the fall, however you just found out, he will also be working in the summer; after the fall (original) position was already entered in JEMS.

*What needs to be done in this situation?*
### Scenario #3 - Response

<table>
<thead>
<tr>
<th>Fall Hire Working in the Summer-Already in JEMS</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. If the C-Basis job was entered before the early start is known, submit a WiscIT. The Service Center will change the start date to match the start date for the summer work. The academic year job will be immediately placed on a short work break with the same effective date. (Confirm that the Assured Consideration date has passed.)</td>
<td>HRS/JEMS</td>
</tr>
<tr>
<td>2. PVL waiver is required for summer jobs for AS, LI, or FA Empl Classes.</td>
<td>PVL</td>
</tr>
<tr>
<td>3. Enter the summer hire in JEMS Hire using the approved PVL waiver.</td>
<td>HRS/JEMS</td>
</tr>
</tbody>
</table>
• Rehired Annuitant Issue

• Funding for Summer Service/Summer Session

• Questions??
Summer – Out of Country

• In the past, graduates leaving the country for summer were allowed to terminate benefits due to obtaining other benefits. Upon return they were allowed to re-enroll due to loss of coverage.

• ETF has now indicated that if there is no 30 day break in service, the grads must remain covered over the summer. Leaving the country is not a qualifying event.
Annual Benefits Enrollment

• ETF kickoff meeting is scheduled for end of September where they announce changes and options for 2015
• It’s Your Choice period (fall enrollment) will be October 6, 2014 – October 31, 2014
• Benefits Fair will be Tuesday October 7, 2014 from 9am-3pm at Union South
Payroll Audit Recommendations

UWS Internal Audit – Satisfactory, with opportunities for improvement

• Recommendation 1:
  – Enhance internal controls
    • Review entries for accuracy
      – Overtime coding
      – SSN mis-keyed
      – Wrong empl ID used

• Recommendation 2:
  – Final leave statement be part of department procedures
    • UPPP Chapter 16.02 modified
      – Completion of Leave Statement Upon Termination: Every effort should be made by the employee to turn in his/her final leave statement to his/her supervisor by the last day of employment to ensure timely processing of leave payouts or collecting money owed by the employee for overuse of leave. Failure to turn in final leave statement may result in the withholding of the final paycheck until the information is obtained by the employer.
• Recommendation 3:
  – Verification of SSNs
    • Double check entry of SSNs for accuracy
    • SSN cards will be requested for benefits purposes when ETF identifies an issue
    • Continue with 3-strike policy for employment purposes; letter sent to employee when governmental body identifies an issue and termination after 3rd notice
<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>March 15</td>
<td>FYE Testing Began</td>
</tr>
<tr>
<td>April 1</td>
<td>Dual year edits available</td>
</tr>
<tr>
<td>May 17</td>
<td>Short Work Break Job Data Row Insert</td>
</tr>
<tr>
<td>May 31 – June 1</td>
<td>Unclassified Pay Plan Job Data Row Insert</td>
</tr>
<tr>
<td>June 6-8</td>
<td>Budget Import</td>
</tr>
<tr>
<td>June 9-13</td>
<td>Funding Rollover</td>
</tr>
<tr>
<td>June 9-13</td>
<td>Encumbrance Full Reversal</td>
</tr>
<tr>
<td>June 18</td>
<td>Salary Cost Transfers (SCTs) processed through Cost Transfer Tool for FY 2014 must be fully approved by June 18 to guarantee entry into FY 2014. After this cutoff date, SCTs will be processed as time permits</td>
</tr>
<tr>
<td>June 20</td>
<td>Final 2014UNC06 Monthly Calc and Confirm</td>
</tr>
<tr>
<td>June 20</td>
<td>Classified Pay Plan Job Data Row Insert</td>
</tr>
<tr>
<td>July 3</td>
<td>Final 2014BW06B Biweekly Calc and Confirm</td>
</tr>
<tr>
<td>July 7-11</td>
<td>Encumbrance Initialization Process</td>
</tr>
<tr>
<td>July 14</td>
<td>First day Salary Cost Transfers entered in the Cost Transfer Tool will be posted in FY 2015</td>
</tr>
<tr>
<td>July 17</td>
<td>Final 2014BW07A Biweekly Calc and Confirm</td>
</tr>
<tr>
<td>July 24</td>
<td>Final 2014UNC07 Monthly Calc and Confirm</td>
</tr>
<tr>
<td>August 22</td>
<td>Return from Short Work Break, C-Basis Pay Plan Job Data Row Insert</td>
</tr>
</tbody>
</table>

All dates tentative and subject to change (Revised 5/12)
Fiscal Year End Update – Budget Import

• TEST run of budget import is being done now
• Results will be distributed the week of May 26
• Purpose is twofold:
  – Ensure budget import process will be successful
  – Allow correction of funding errors prior to ACTUAL import starting on June 6
Since October 2013 SFS upgrade, SFS/HRS “budget checks” sponsored projects setup in the Grants module
– Grants module Budget category setup is done by:
  • RSP (Bridget Nettesheim or budgeterror@rsp.wisc.edu) - 133 and 144 funds
  • Grad School (Jessica Wipperfurth) - 135 funds
  • CALS (Angie Seitler) - 142 funds
– A “No Budget Exists” error means salaries have not been setup as an allowable expense category. If not setup, budget import will fail.
– Budget checking is different from checking for valid funding (edit check) in WISDM or SFS
– Affected Divisions: A07, A10, A17, A27, A34, A45, A48, A53, A56, A87
Fiscal Year End Update – Budget Import

• Import errors: “Project status is A, C, H or J”
  – This means project is not open.
    A = Closed Archived
    C = Closed
    H = Hold
    J = Closed – Adjustments Only

• Options:
  – Project administrator needs to change project status
  – If no action is taken, funding will not import
  – If project status is not changed, funding will need to be populated by manual entry or rollover
Fiscal Year End Update – Budget Import

• Import error: “Accounting date outside of project begin and end date”
  – This means project budget dates have passed or have not yet occurred
  – Funding will not import

• Options:
  – Contact the project administrator to change or extend project date, if allowable
  – If no action is taken, funding will not import
  – If project date cannot be changed or extended, funding will need to be populated by manual entry or rollover
Fiscal Year End Update – Budget Import

• Import errors:
  – Combo error for fields XXX in group ORGEDIT
  – Invalid chart field (Fund Code/DeptID/Program Code) value

Reason:
  • The chart field does not exist or is not active
  • The department is not an allowable department
  • The program code is not an allowable program
  • The fund is not an allowable fund

  – Funding will not import

• Options:
  – If allowable, contact Accounting Services (Laura Rader) to setup chart fields
Fiscal Year End Update – Summer Appointment Funding

- Summer Service (V-Basis) or Summer Session (S-Basis) employees with a hire or rehire effective date prior to 7/1/2014 will need a fiscal year 2014 funding entry
- Use an effective date of the hire, rehire or transfer.
- FY 2014 funding for summer appointments entered by June 6 (the start date of budget import and funding rollover) will be rolled over to fiscal year 2015, unless fiscal year 2015 manual funding entry exits or funding population by budget import is expected.
Fiscal Year End Update – C-Basis Funding Entry

- C-Basis employees with summer prepays for health, life and income continuation insurances must have fiscal year 2014 valid funding in place through 6/30/2014.
- C-Basis employees must also have fiscal year 2015 funding in place effective 7/1/2014.
- Continuous funding over the summer months for C-Basis employees is needed to fund the employer share of the insurance benefits, even though no salary will be paid.
• It is extremely important to have valid FY 2014 funding in place through 6/30/14 for ALL employees:
  – Two payrolls will have overnight processing during holiday periods (May 22 and July 3). There is no margin for error in processing these payrolls. An issue with a single payroll transaction can stop payroll processing for all employees at all campuses.
  – The FY 2014 Funding with the latest effective date that is entered by June 6 will be rolled over to fiscal year 2015. Funding will not be rolled over if there is a manual FY 2015 entry or a budget import
  – Funding is needed for C-Basis employees to fund summer prepays
  – Summer appointments with start dates prior to July 1 need funding entry
  – Refer to “Payrolls That Cross Fiscal Years” slide for funding entries that cross fiscal years
Payrolls That Cross Fiscal Years - Biweekly

Biweekly Pay Schedule
 Classified and Student Hourly

<table>
<thead>
<tr>
<th>Pay Period</th>
<th>Pay Run ID</th>
<th>Pay Period</th>
<th>Pay Date</th>
</tr>
</thead>
</table>

Fiscal Year 2014:

- Populates funding for 6/29/2014 - 6/30/2014 of 2014BW07A pay period
- Funding is for 2/7 of Week 1 payroll if employee has an active appointment on 6/29/2014, even if employee did not actually work on 6/29 or 6/30
- A FY 2014 funding entry with an effective date of 6/29/2014 is needed if FY 2015 funding changes from FY 2014 funding if the entire 2014BW07A pay period should be charged to the new FY 2015 funding
- Entire pay period will be posted to FY 2015, whether or not funding is changing between fiscal years

Fiscal Year 2015:

- Populates funding for 7/1/2014-7/12/2014 of 2014BW07A pay period
- Funding is for 5/7 of Week 1 payroll plus Week 2 payroll, if employee has an active appointment as of 7/1/2014

Funding Chart Fields Are Setup by Controllers Office (Accounting Services)
Payrolls That Cross Fiscal Years - Monthly

- Campus: Madison (AG1)

<table>
<thead>
<tr>
<th>Pay Run ID</th>
<th>Pay Group</th>
<th>Period Begin Date</th>
<th>Period End Date</th>
<th>Payment Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014UNC07</td>
<td>ARG A-basis</td>
<td>07/01/2014</td>
<td>07/31/2014</td>
<td>08/01/2014</td>
</tr>
<tr>
<td>Crosses Fiscal Year</td>
<td>Summer Session</td>
<td>06/23/2014</td>
<td>07/20/2014</td>
<td>08/01/2014</td>
</tr>
<tr>
<td>Crosses Fiscal Year</td>
<td>Summer Service</td>
<td>06/26/2014</td>
<td>07/25/2014</td>
<td>08/01/2014</td>
</tr>
</tbody>
</table>

- Fiscal Year 2014:
  - Populates funding for 6/23-6/30 (S-Basis) or 6/26-6/30 (V-Basis) of 2014UNC07 pay period for employees with an active appointment at the start of the pay period
  - A FY 2014 funding entry with an effective date of 6/23 (S-Basis) or 6/26 (V-Basis) is needed if FY 2015 funding changes from FY 2014 funding if the entire 2014UNC07 pay period should be charged to the new FY 2015 funding
  - Entire pay period will be posted to FY 2015, whether or not funding is changing between fiscal years

- Fiscal Year 2015:
  - Populates funding for 7/1/2014 – through end of pay period
  - Funding Chart Fields Are Setup by Controllers (Accounting Services)
Finance Websites

• Service Center Finance Page: https://uwservice.wisc.edu/administration/finance.php

• Service Center Fiscal Year End Page: https://uwservice.wisc.edu/administration/fye-2014/
**Mini Training Projects – Survey Results**

<table>
<thead>
<tr>
<th>Rank</th>
<th>Training Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Leave of Absence</td>
</tr>
<tr>
<td>2</td>
<td>Absence Management</td>
</tr>
<tr>
<td>3</td>
<td>HRS Actions-Hires, Rehires, Transfers, &amp; Terminations</td>
</tr>
<tr>
<td>4</td>
<td>Glacier</td>
</tr>
<tr>
<td>5*</td>
<td>Position Development</td>
</tr>
<tr>
<td>5*</td>
<td>Hiring and Job Data for Foreign National Employees</td>
</tr>
<tr>
<td>7</td>
<td>Exempt and Non Exempt Employees</td>
</tr>
<tr>
<td>8</td>
<td>Position Vacancy Listing (PVL)</td>
</tr>
<tr>
<td>Suggestion (1)</td>
<td>Lump Sums</td>
</tr>
</tbody>
</table>

*N=62

*Topics were tied for the ranking of #5*
June – August Training Schedule

Programs

- Leaves of Absence (Mini Project)
- Glacier Training (Mini Project)
- HRS Actions-Hires, Rehires, Transfers, & Terminations (Mini Project)
- JEMS Hire
- HRS Student Help
- Query Library Training
- Basic Benefits
- Workflow Exception Dashboard
Glacier Training

• Tentatively June and July sessions
• What will be covered:
  – Who needs a Glacier account & why
  – Timeline of Glacier requirements (SSN/ITIN Application)
  – Glacier contacts
  – Identification of foreign national employees & account creation
  – Necessary steps for employees
• Will be announced by early June
Workflow Exception Dashboard

- Service Center has scheduled training (15/session) for those who have requested access
  - Tuesday, May 27, 2014, 1:00 p.m. – 2:00 p.m.
  - Tuesday, June 3, 2014, 11:00 a.m. – 12:00 p.m.
  - Tuesday, June 3, 2013, 1:30 p.m. – 2:30 p.m.

- Service Center will submit requests for role in OIM
  - Need Compliance Agreement and Security Approver signoff

- Deadline was May 9

- Anyone else want to participate? Submit names to Carla and additional training will be scheduled
Miscellaneous

• OIM Testing
  – June 23 – July 11 acceptance testing: volunteers??
  – July 11 – August 1 training
  – August 8 cutover

• Direct Deposit
  – Lists will be distributed
  – New query now available

• Fellows Update
  – Effective date changed to January 1, 2015
  – Meeting will be schedule with divisions impacted

• Summer Leave Reporting and ALRA
  – Information attached to May 13 Check-in
Future HRS Coordinator Meetings

- Thursday June 26 w/Global Professionals
  - Certification of Human Resource Professionals
    *(JEMS Training Assessment Workgroup Update)*

- Thursday July 24
- Wednesday August 27 - Cancelled
- Thursday September 25
- Thursday October 23
- Thursday December 11

All are 1 – 2:30 p.m. in 1106/1108, 21 North Park