## Fiscal Administrators | What We Heard & Today's Agenda

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<th>Topic</th>
<th>Today's Agenda Item / Objective</th>
<th>Target Time</th>
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<tr>
<td>Welcome</td>
<td>Agenda Overview</td>
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<td>FST Project Overview</td>
<td>Project Timeline – Where Are We?</td>
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<td>Engagement Activity</td>
<td>Project Pulse Check</td>
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<td>Security Role to Position Mapping</td>
<td>Security Roles Approach/Timeline</td>
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<td>Training Updates</td>
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<td>Reporting &amp; Analytics</td>
<td>New Updates?</td>
<td>10 min</td>
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<td>Post Go-Live Support After July 1</td>
<td>Service Delivery Model</td>
<td>5 min</td>
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<tr>
<td>Other Business and Wrap Up</td>
<td>Questions/Comments</td>
<td>5 min</td>
</tr>
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</table>
FST Project Overview
4 Months to Workday Go-Live

- **Jan - May**: Cutover Planning
- **Jan - May**: System Remediation Testing
- **Feb 28, 2022**: UER Kick-Off
- **Feb-March**: HCM/Pay Prep/Testing
- **March 11, 2022**: Role Mapping Complete
- **May-June**: Training
- **July 2, 2022**: Support
- **July 1, 2022**: FST Go-Live

**Timeline**

**Jan - Feb**
- Deliverer

**March - June**
- Role Mapping Complete

**July - Aug**
- FST Go-Live

**Training**
- July 1, 2022

**Support**
- July 2, 2022

**FST Go-Live**
- July 2, 2022
Engagement Activity
We will be using the Mentimeter app to capture some of your responses today

Scan the QR code with your smart phone camera to respond

OR

Go to [www.menti.com](http://www.menti.com) and enter the code **7770 8555**

Note: When putting in the code above, remember to put the space in between.
Engagement Activity | Poll

1. What is something that excites your unit/department about UVAFST, as we progress towards Go-Live?

2. What concerns are you hearing about UVAFST as we progress towards Go-Live?

3. What can the project team do to support your involvement in the project between now and Go-Live?
FDM Mapping
FDM MAPPING | UPDATES

WHAT'S NEW?
• Frost - 3/17 last day to request new worktags
• Team is working with SIS and other units to provide guidance on GL revenue mapping

WHAT'S NEEDED?
• Continue to review and refine FDM Mapping
• Final budget conversion will be done shortly after frost date, so be sure to get your FDM mapping as solid as possible

RESOURCES AVAILABLE:
• https://communityhub.virginia.edu/docs/DOC-2982
Security Role-To-Position Mapping
Security Role-To-Position Mapping | Guiding Principles

As we assess and deploy business process, the FST Team is following these guiding principles:

**Role Identification**
- Leverage the current FST All Pods structure along with individual meetings to aid in Role Mapping
- Utilize roles to inform training, noting that they can be edited up until and after go live
- Provide greater visibility on the Security Roles and what they can do
- **Goal: Put the right person in the right Role by March 11th**

**Business Process Driven Tool**
- Realize that every business process requires controls, and we should use a risk-rated approach
- Revisit our current business processes and ensure that proper controls are in place, including separation of duties.
Security Role-To-Position Mapping | Sequencing

Focusing on High Volume Business Processes

1. **Procurement** – Expense Report Event & Spend Authorization
2. **Procurement** – Requisition Event
3. **Procurement** – Supplier Invoice Request Event
4. **Payroll** – Assign Costing Allocation & Payroll Accounting Adjustments
5. **Accounting** – Account Certification Event
7. **Internal Service Delivery** – ISD Event
8. **Banking, Settlement and Payments**
9. **Sponsored Research Specific Business Processes**
10. **MBU Role Mapping Submittals** – March 11th
We are leveraging our current All Pods Meeting structure to aid in another critical path item:

- All Pods meets every Monday, approx. 200 people in attendance weekly
- Starting **Monday 2/21** – last 30 minutes of each meeting will be by reservation (multiple breakout sessions)
- Office Hours have been shifted to Noon on Fridays for Open Q&A – all are welcome
- Wednesday Meetings are now by reservation for specific solutioning (asking for draft materials in advance)

**Other Related Topics:**

- OSP presented on **Monday, February 21st**
- Request Based Access presented on **Monday, February 28th**
- Many Colleges / Departments have additional “Office Hours” for their specific business processes
- FST All School “Open Hours” Noon on Fridays – invitations forthcoming for General Q&A
Security Role-To-Position Mapping | Documentation

1. All materials shared here will be accessible on the FST Board
   https://communityhub.virginia.edu/community/uva-finance-transformation/blog/2021/12/21/workflow-resources

2. If you have questions while you are reviewing the business processes, you can submit to your FST FDM representative, and they have access to the FST FDM Inquiry email.

3. Role Mapping Sheets are available in your respective BOX folder

4. Over 20 major Business Processes available as well as additional supporting documentation
Security Role-To-Position Mapping | Example Materials

**Process Narratives**

**Roles & Security**

**Process Flows**

**Separation of Duties**

**Mapping Matrices**
Change Readiness Assessment #4
Over the length of the project, the team has completed four Change Readiness Assessments to identify key readiness areas that need attention, prioritize and address concerns, and report results to project leadership.

Prior assessments were comprised of surveys utilizing multiple-choice opinion questions, Likert scale readiness gauging, and free-form comments to provide additional qualitative input.

The current assessment was performed using a combination of data from unit readiness dashboards and focus groups.
A different approach was taken for the fourth Change Readiness Assessment. The team focused on gathering input from users directly, using two methods: Readiness Dashboards and Focus Groups. Through these activities we were able to gather information from units and end users about their current readiness and to gain insight into the status of each unit to support overall adoption and go-live preparedness.

The Readiness Dashboard, completed by school/unit leadership, provides a progress measure across the different priority areas of the project and helps assess the level of readiness; establishing visibility for project and university leadership around which units need additional time and attention to be ready for Go-Live.

Focus Groups allowed the team to hear directly from end users across campus to gain a more in-depth understanding of stakeholders’ personal experiences, awareness and level of engagement with the Finance Strategic Transformation.
The Readiness Dashboards and checklists were shared with Advisory Group Change Leaders/Steering Committee members on 2/1/22.

At the 2/16/22 governance meeting, project team members provided updates and milestone activities for the key readiness areas. Leaders were then allotted time to provide status updates on their dashboards.

100% (30/30*) of units completed readiness dashboards by 2/18. Not only was this an exceptional response, but leaders also provided significant input into the dashboards. These dashboards will continue to be updated monthly during the Steering Committee/Advisory Group governance meeting.

Monthly metrics will be shared with project leadership and used to inform action plans around areas of concern. OCM Change Partners will work with Change Leaders to implement mitigation activities.

### FST Unit Readiness Dashboards 2/18/22
30/30 Units Reporting

<table>
<thead>
<tr>
<th>Readiness Area</th>
<th>Readiness Health Across All Units</th>
<th>Readiness Area not applicable to these units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budgets</td>
<td>On Track 93%  Monitor 7%</td>
<td>At Risk  N/A 1 unit</td>
</tr>
<tr>
<td>FDM Mapping</td>
<td>On Track 73%  Monitor 27%</td>
<td>At Risk  N/A</td>
</tr>
<tr>
<td>System Remediation</td>
<td>On Track 17%  Monitor 83%</td>
<td>At Risk  N/A 12 units</td>
</tr>
<tr>
<td>Role to Position Mapping</td>
<td>On Track 47%  Monitor 43%</td>
<td>At Risk  N/A</td>
</tr>
<tr>
<td>Process Transformation</td>
<td>On Track 56%  Monitor 41%</td>
<td>At Risk  N/A 8 units</td>
</tr>
<tr>
<td>Expendable Fund Balance Realignment</td>
<td>On Track 0%  Monitor 50%</td>
<td>At Risk  N/A 12 units</td>
</tr>
<tr>
<td>Stakeholder Engagement</td>
<td>On Track 60%  Monitor 37%</td>
<td>At Risk  N/A 5 units</td>
</tr>
</tbody>
</table>
Four focus groups were held over the course of two weeks in order to gauge end user perception and sentiment regarding the Finance Strategic Transformation. Insights from the focus groups will be used to further inform the team’s approach to communication, change management, and training.

**CONTENT**

Content was focused on end user perception of the following:

- Project awareness
- Engagement
- Communications
- Training
- Support
- Project outcomes

**PARTICIPANTS**

70 staff participated in a focus group*. Participant criteria included:

- Participants must be an end user (represented from each unit on campus)
- Participants have not had ongoing project engagement

**FACILITATION**

Anonymous polls and open discussion were used to solicit feedback on:

- Impressions of Workday Finance
- Opportunities for greater engagement
- Strategies and best practices for training and post-go-live support

*Stakeholders represented 21 units.
There is a strong awareness of the Finance Strategic Transformation by most focus group participants, as 95% of participants indicated that they are familiar with the FST project.

87% of participants correctly identified that the Workday Finance implementation will go live on July 1, 2022, further indicating a strong level of awareness of major project details.

There is a highly evident appetite for learning more about the project and understanding details surrounding change impacts. Participants want to experience the system for themselves to better understand the transformation.
Four key themes emerged from the Readiness Assessment, which will help to inform future project activities to support end users.

**AWARENESS**
Participants have an awareness of the project basics and resources offered, and there is a strong desire for more detailed project information.

**COMMUNICATION & ENGAGEMENT**
There is a critical need for consistent, clear and targeted engagement with end users to increase confidence as we progress toward go-live.

**TRAINING**
Participants emphasized the need for specific, thorough, hands-on training as the most critical component of implementation success.

**POST-GO-LIVE SUPPORT**
There is a strong desire for assurance that end users will be supported post-go-live with real-time answers to meet their unique needs.
CRA #4 | Recommendations for the Future

Insights from the Change Readiness Assessment provide a roadmap for improved end user engagement and support throughout the transformation.

<table>
<thead>
<tr>
<th>1 COMMUNICATIONS</th>
<th>2 ENGAGEMENT</th>
<th>3 ENGAGEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partner with Change Leaders and host monthly chats with department managers and provide them with standardized resources &amp; talking points to communicate with their teams.</td>
<td>Develop unit-level engagement approach that includes roadshows, system demos, and “day-in-the-life” walk-throughs for end users.</td>
<td>Design end user engagement opportunities based upon role mapping to provide persona-based experiential learning opportunities to end users.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4 TRAINING</th>
<th>5 READINESS</th>
<th>6 READINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Share detailed training plan &amp; associated timeline with end users to generate awareness of when system access will be granted and how end users will learn updated processes.</td>
<td>Continue adding relevant tasks/milestones to leadership checklists (e.g., cutover activities) and engage with leaders to monitor progress.</td>
<td>Send reminders to unit leaders to engage with stakeholders who are responsible for key readiness areas and to be prepared to complete readiness dashboard at monthly governance meeting.</td>
</tr>
</tbody>
</table>
User Experience Review
The goal of User Experience Review is to provide system exposure to end-users, find crucial usability problems, and gather input into training materials.

### Key Objectives

- **Effectiveness**: Validate that business processes effectively facilitate the execution of daily operational activities.
- **Usability**: Ensure clarity of the processes and reveal areas of confusion and ambiguity during typical expected use of the system.
- **Visibility**: Confirm that end users have access to the processes and tasks they need to do their jobs.
- **Information**: Confirm that end users have access to the reports and other information they need to do their job.
- **Training**: Gather feedback from end users on training materials.
- **Quality**: Provide a final opportunity to identify defects or gaps in the system.
# UER Updates | Scope and Schedule

## UER Updates

<table>
<thead>
<tr>
<th>March</th>
<th>April</th>
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<tbody>
<tr>
<td>1(^{st}) – 3(^{rd})</td>
<td>4(^{th}) – 7(^{th})</td>
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<tr>
<td>7(^{th}) – 10(^{th})</td>
<td>11(^{th}) – 13(^{th})</td>
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<tr>
<td>14(^{th}) – 17(^{th})</td>
<td>18(^{th}) – 22(^{nd})</td>
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<tr>
<td>21(^{st}) – 24(^{th})</td>
<td>25(^{th}) – 29(^{th})</td>
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<tr>
<td>28(^{th}) – 31(^{st})</td>
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</tbody>
</table>

### UER Wrap-Up

*Note that no review sessions will occur on Fridays.*

A sample list of processes will be reviewed during this time for each of the following functional areas:

- Banking and Settlement
- Customer Accounts
- Expenses
- Financial Accounting
- Gifts
- Internal Service Delivery
- Payroll Accounting
- Procurement
- Supplier Accounts

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**Supplier Invoice Request Demo Session**  
Wednesday, March 9, 9am

Kevin, a reviewer, received an email invitation from the FST team on 2/22 for a **Supplier Invoice Session on 3/9 to be held at 9am.**  
Kevin will join the meeting to view a demo on his assigned scenarios and ask any questions of the FST team on the line.

**Supplier Invoice Request Review**  
Wednesday, March 9, 10:30am

After reviewing the Quick Reference Guides (QRGs) and FDM resources, and attending the demo session, Kevin feels prepared and ready to work through his review scenarios. As Kevin works through his scenarios, an alert appears that he is unfamiliar with. He logs into the **Supplier Invoice Request Office hours at 11am** to ask his question, then completes his scenarios. At the end of each scenario, Kevin opens the feedback form to provide his reflections on the system and the QRG he leveraged. Kevin will repeat this process for each scenario assigned to him.

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**THE REVIEWER TOOLKIT**

- **UER Tenant**
- **Review Scenarios**
- **FDM Overview and UVA Business Terms**
- **Quick Reference Guides**
- **Feedback Form**
Training Updates
Training Updates | What will Training Look Like?

Training development and delivery will focus on three key areas (people, process, technology) that drive business operations and support functions:

**People**
- Provide an overview of how roles and responsibilities will change due to the implementation of the UVA Finance Strategic Transformation (FST)

**Content will focus on:**
- Key Operational Changes
- New ways of working

**Process**
- Introduce standardized and simplified processes focusing on efficiency, effectiveness and compliance.

**Content will focus on:**
- Business critical processes end users need to know how to perform on Day 1 / Go-Live

**Technology**
- Demonstrate Workday and provide self-service instructions to enable end-users to complete transactions within Workday and other systems.
Training Updates | How will Training be Delivered?

Training will be **role-based** in alignment with business requirements and operational needs. The following delivery methods will be considered based on the level of change impact, audience size and logistics.

**INSTRUCTOR LED TRAINING (ILT)**
Facilitated zoom and/or in-person sessions with a **hands-on practice** in the training tenant

**WEB BASED TRAINING (WBT)**
Self-paced learning modules within the system

**QUICK REFERENCE GUIDES (QRG)**
Short process-specific guides with steps to complete a task in Workday

**DEMOS**
Short video sessions detailing how a task is executed in Workday

**OFFICE HOURS**
Live working sessions where users can co-work alongside trainers

**Course outlines are being developed and we will provide an update during the next meeting**

**TRAINING DEVELOPMENT**
FEBRUARY - APRIL

**TRAINING DEPLOYMENT**
MAY - JUNE and Post Go-Live
We will establish an organizing mechanism for R&A based on Personas and while we are immediately focused on the Finance launch, we recognize that our users have a broader range of needs including HCM and Student data.

**persona Working Group**

**Sponsor:** Bill Ashby

**HCM People Analytics:** Johann Reinicke, Xavier Wiltbank, Alex Jeter

**ITS:** Teresa Wimmer

**FST/Finance:** Ashley Bagby, Derrick Carter, Linda Leshowitz, Brad Kurtz, Del Kolberg

**Schools/Units:** Alicia Rudie, James Cathro, Sarah May, Scott Willis

**PERSONAS**

**Fiscal Administrator:** Bob

**Business Officer / Chief Administrator:** Jane

**Department or Unit Director:** Tim

**Grants / Research Administrators:** Susan

“What type of experience/portfolio do we aspire to deliver in July 2022 to enterprise reporting and analytics (R&A) end users at the University of Virginia?”
Persona: Bob – Operational Support

Who they are?

• Fiscal Administrator
• Business Manager
• Budget Analyst
• Financial Services Specialist
• Expense Entry Specialist
• Payroll Costing Coordinator

With whom do they interact?

• Department Chairs
• Program Directors
• Coaches
• Faculty
• Dean’s Office
• Registrar’s Office
• HR
• Students

Knowledge and Skills

• Operational Knowledge - Go-to resource on how things get done in department/unit
• Chart of Accounts (PTAO, FDM)
• Connection between operations, processes, and data
• Use of reporting tools to answer questions

Regular Tasks

Needs

• Access to transactional processes (T&E, Travel, Requisitions and PO vouchers, Payroll Distribution, Cost Transfers, Wage Assignment)
• Account Certification/Reconciliations
• Cash Deposits
• Delegations on behalf of others
• Student hiring
• Onboarding new employees
• Grants administration
• Space Management
• FM Work order requests

Frustrations

• Complex processes (Payroll Dist, Access to PO details, Cost Transfers)
• Delegations
• Approval processes
• Reconciliations

Data and Information

Needs

• Consistent, standardized reports – Details, Summaries, Variances, Trends
• Tracking and projecting fund balances
• Managing commitments
• Tracking cross-unit spending
• Budget variance reporting
• Error-catching – Exceptions, journal entries, cost transfers, Payroll Distribution
• Compensation (Salary, Wage, Funding Sources, PAP)

Frustrations

• Access to compensation information
• Tracking fund balances - Split ledger (GL/GA)
• Tracking spending commitments
• Have access to data, but not necessarily actionable information
• Distribution of financial reports to faculty

Modes of Operation

• Often wear many hats
• Work with detailed transactional data and information on a daily basis
• Manage the distribution of resources for their department or unit - need insight into Budget variance, Fund Balances, Commitments & Obligations
• Often an individual performer, not a manager of others
• Generally focused on operational vs. strategic decisions
This dashboard is intended to provide a one-stop shop for users in Fiscal Administrator or Operational Support Roles to access common tasks, reports, and other resources needed to perform their daily work.
Reporting & Analytics | Dashboard – Purchasing/Spend

This Dashboard is intended to provide a one-stop shop for users in Fiscal Administrator or Operational Support Roles to access common tasks, reports, and other resources needed to perform their daily work.

**OTPS Spend Summary**

- Services Skilled Other (SC0219)
- Services Academic Consulting (SC0174)
- Services Skilled Other Perceptions (SC0218)
- Services Renewal Grounds (SC0659)
- Services Renewal Custodial (SC0180)
- Rent Equipment (SC0510)
- Services General Repair & Maintenance Other (SC1092)
- Travel Subsidies & Lodging Domestic (SC0249)
- Office Furniture (SC0993)
- Supplies Alcohol (SC0281)
- Other

**Common Purchasing Reports**

<table>
<thead>
<tr>
<th>Report Task</th>
<th>Description</th>
<th>Report Written by</th>
<th>Report Type</th>
<th>Report Category</th>
<th>Active Report Tags</th>
</tr>
</thead>
<tbody>
<tr>
<td>1099 Transactions for Corporations</td>
<td></td>
<td>UVA</td>
<td>Advanced</td>
<td>Supplier Accounts</td>
<td>Function: Purchasing Owner: Supplier Accounts UAFT</td>
</tr>
<tr>
<td>Audit Report for Department Purchases</td>
<td>Analyze purchase orders for potential split transactions</td>
<td>UVA</td>
<td>Matrix</td>
<td>Procurement</td>
<td>Custom Report Function: Purchasing Owner: Procurement UAFT</td>
</tr>
<tr>
<td>Catalog vs. Non-Catalog Purchase order Spend</td>
<td>This report allows users to analyze historic spend resulting from POs, and to understand purchasing trends by catalog and non-catalog status</td>
<td>UVA</td>
<td>Matrix</td>
<td>Procurement</td>
<td>Function: Purchasing</td>
</tr>
</tbody>
</table>

**Tasks**

- Create Expense Report
- Create Expense Report for Worker
- Create Requisition
- More (3)

**Reports**

- Find Suppliers Contact Info

**Quick Links**

- UVA Finance
- UVA User Hub
- PaymentWorks Resources

More (3)
Post Go-Live Support
The Finance Solution Center will be UVA Finance's centralized, first human point of contact for most support requests.

**Agents in the Solution Center will be responsible for:**

- Gathering customer information.
- Analyzing the problem to identify the cause.
- Solving the problem if there is a documented solution in the Tier 1 catalog.
- Escalating cases to the appropriate specialist if it cannot be resolved at Tier 1.

Users may seek support by calling our hotline or emailing askfinance@virginia.edu.

Soft launch for Tier 1 is scheduled for March 14, 2022.
Post Go-Live Support | How Will Customers Get Help?

Primary Service Channels

- Self Help
- Website
- FAQs
- Policy and process

Some pathways for customers to go straight to Tier 2 specialists.

askfinance@virginia.edu

Escalation & Enhanced FIN Services/Expertise

Tiers 2, 3, and 4

- Procurement and Supplier Diversity Services
- Payroll
- Treasury
- Engagement
- Financial Planning & Analysis
- Finance Strategic Transformation
- Financial Reporting and Operations
- Systems, Processes, and Data
Why Are We Doing This?

- Create a primary stakeholder point of entry for UVA Finance support requests.
- Create a streamlined, consistent, high-quality, and reliable service experience for stakeholders without being bounced across units during and after the Workday Financials launch.
- Create coordination efficiencies across UVA Finance service units.
- Enable specialists to focus on areas where they contribute unique skills.
- Improve transfer of institutional knowledge and business continuity.
- Reduce workload pressure on units with staffing shortages or gaps.
- Collect, manage, and use operational service data to provide data informed services.
**Post Go-Live Support | Planning & Implementation**

**Preparation & Testing (Jan/Feb)**
- Hiring & training tier 1 support agents
- Building initial tier 1 support catalog & configuring Salesforce
- Socializing tier 1 & central point of inquiry with finance users

**Soft Launch (Mar-May)**
- Launch askfinance@virginia.edu as central point of inquiry
- Expand tier 1 support catalog, refine workflows, enhance documentation
- Reassess resourcing based on volume

**WD Launch & Beyond (Jun-)**
- Lead user support in the Command Center during launch
- Stabilize and refine tier 1 support catalog
- Use data to drive continuous improvement of service experience
Other Business and Wrap Up
APPENDIX – Control Environment & Support
Kainos Smart Audit

- Kainos Smart Audit – Currently Under Implementation in HCM tenant
- Running Tests with Payroll and Payroll Data Stewards in March
- Analysis and Reporting on:
  - Tasks (security and Execution),
  - BP Security Policy Access (Groups and Workers)
  - Personal Data Access
  - SoD – Security Group Conflicts
  - SoD Accounts with Sensitive Access
- Delivered with over 200 standard “toxic combination”
- Evaluate configuration and Business Process
- Monitors Roles & Tasks

Risk Control Profile
- Access and Security Change Control
- Security Group Membership Validation
- Exception and Monitoring
- Business Process Exceptions
We are working to build a sustainable, high-performing, cross-functional, long-term Workday Finance Support team to live within UVAFinance that includes ongoing support of the Workday Financials system, as well as stakeholder support, including a help desk, training, and finance reporting.

Our goal is to staff a sustainable, high-performing, cross-functional, long-term Workday Finance Support team following the July 2022 launch, through stabilization and into the future.
Separation of Duties (SOD) is the concept of having more than one person required to complete a task.

No one employee should be responsible for more than one of the following:

- Initiation
- Approval
- Reconciliation

Best Practices:

- Conflicts arise in the normal course of business and are identified during SOD reviews.
- Management is required to identify Key Controls that mitigate the risk of each SOD conflicts.
- Internal Audit reviews mitigating controls for appropriateness and determines if any process owners of mitigating controls are included in the conflict.
- If an SOD conflict is necessary for business process, management must ensure the following:
  - Mitigating controls must exist to reduce the risk
  - Individuals with SOD conflicts cannot be responsible for performing/supervising the control.
The following requisition approval statistics were provided by PSDS. In FY2019:

- 56% (61K / 109K) were sent directly to suppliers without prior department approval (“self-approved” requisitions)
- 81% of self-approved requisitions were < $1,000
- 95% of self-approved requisitions < $5,000
- 2,786 employees have access to submit requisitions
- 1,393 employees have spend authority
- 278 employees have $10,000 spend authority (i.e., they can submit requisitions up to $10,000 without school/unit approval)
- 293 employees have unlimited spend authority (i.e., they can submit requisitions up to any dollar amount w/o school/unit approval)

The FST Spend team’s requisition approval design prototype:

- The highest allowable spend delegation is $10,000
- All requisitions > $10,000 will route for grant and cost center approval
- This threshold meets OSP’s micro threshold requirements
- Schools/Units can delegate spend authority roles at the $0, $5,000, or $10,000 level
- Not designed: When a requisition reaches higher dollar thresholds ($500,000, $1M, etc.), what school/unit approval should be required beyond the Grant Manager and Cost Center Manager?
Internal Control | Roles & Responsibilities

- **The President:**
  - Holds ultimate responsibility and assumes ownership for internal control – signs our ARMICs

- **Other Executives & Senior Managers:**
  - Support the agency’s internal control philosophy
  - Promote compliance
  - Maintain control within their areas of responsibility

- **Chief Financial Officers & Fiscal Officers:**
  - Provide key oversight
  - Enforce policy roles over fiscal matters

- **Other Managers:**
  - Hold lead responsibility for compliance with non-financial aspects of laws, directives, policies, procedures, and the Code of Ethics
Every UVA Employee

- Participates in:
  - Establishing
  - Properly documenting
  - Implementing and
  - Maintaining internal controls

- Reports:
  - Lack of internal controls that could result in -
    - Waste
    - Fraud
    - Abuse
    - Inefficiency
Address compliance and controls at all levels of the enterprise:

- Attestation
- Sub-Certification
- Approvals, reconciliations, other operating activities
- Monitoring, reporting, and other compliance activities

Leverage Workday:

- Workflow
- Approvals
- Roles
- Access
The following need to be Created, Validated and Tested:

- Annual Financial Attestation, ARMICs and APA Audit
- Quarterly assurance
- Monthly Reconciliations
- System Roles
- Access Management
- Monitoring – Real Time & Ongoing
- Governance
### Account Certification | Frequency and Roles

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Worktag/Level</th>
<th>Preparer</th>
<th>Approver</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Monthly</strong></td>
<td>Grant</td>
<td>Grant Manager</td>
<td>Principle Investigator</td>
</tr>
<tr>
<td></td>
<td>Cost Center + Designated/Gift Combinations</td>
<td>Cost Center Fiscal Admin</td>
<td>Cost Center Manager</td>
</tr>
<tr>
<td><strong>Quarterly</strong></td>
<td>Cost Center Level 4 (MBU)</td>
<td>Recon Admin (prepares &amp; distributes)</td>
<td>Senior Department Administrator</td>
</tr>
<tr>
<td><strong>Annually</strong></td>
<td>Cost Center Level 4 (MBU)</td>
<td>Recon Admin (prepares &amp; distributes)</td>
<td>VP/Dean</td>
</tr>
</tbody>
</table>
## Transaction Approvals | Current State

The closest equivalent to approval (or financial certification) in current state occurs in the post-transaction Recon@ reconciliation process. However, feedback indicated that those assigned as “Approvers” in Recon@ would not make good candidates for the new responsibility of real-time workflow approvers, and that ‘Preparers/Fiscal Contacts’ might be better positioned to review/approve transaction details and initiate corrections in real-time – **this would include the ability for these members to delegate responsibilities to their alternates.**

<table>
<thead>
<tr>
<th>Recon@ Project Key Members</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparer</td>
<td>The person responsible for the detailed reconciliation, including maintenance of source documents to verify all transactions are legitimate. This role is known as the <strong>&quot;Fiscal Contact&quot;</strong> in the Integrated System and is a required role in the Recon@UVA system.</td>
</tr>
<tr>
<td>Examiner</td>
<td>The person responsible for examining and verifying the work of the Preparer prior to final approval. This is an optional role in the reconciliation process and can be assigned in the Integrated System.</td>
</tr>
<tr>
<td>Approver</td>
<td>The person who has fiduciary responsibility and the appropriate knowledge and authority to authorize reconciliations. This is a required role in the Recon@UVA system and must be assigned on any Non-Sponsored Project in the Integrated System.</td>
</tr>
<tr>
<td>Principal Investigator</td>
<td>The person responsible for program and budgetary management of a grant or contract. This role is only assigned on Sponsored Projects and will serve as the “Approver” in the Recon@UVA system.</td>
</tr>
<tr>
<td>Fiscal Officer</td>
<td>The person responsible for verifying that expenditures for the assigned Project-Award combinations adhere to the University Policies and Procedures. He/she will receive notification if reconciliations are not completed within 30 days of the due date. This role is assigned in the Integrated System and provides viewer access to monitor activity in Recon@UVA.</td>
</tr>
<tr>
<td>Vice President/ Dean</td>
<td>The person notified when their unit’s accounts have not been reconciled within 60 days. This list is maintained by the Recon@UVA system administrator and provides viewer access to monitor activity.</td>
</tr>
</tbody>
</table>