Fiscal Administrators Meeting

March 2, 2022

Finance Strategic Transformation

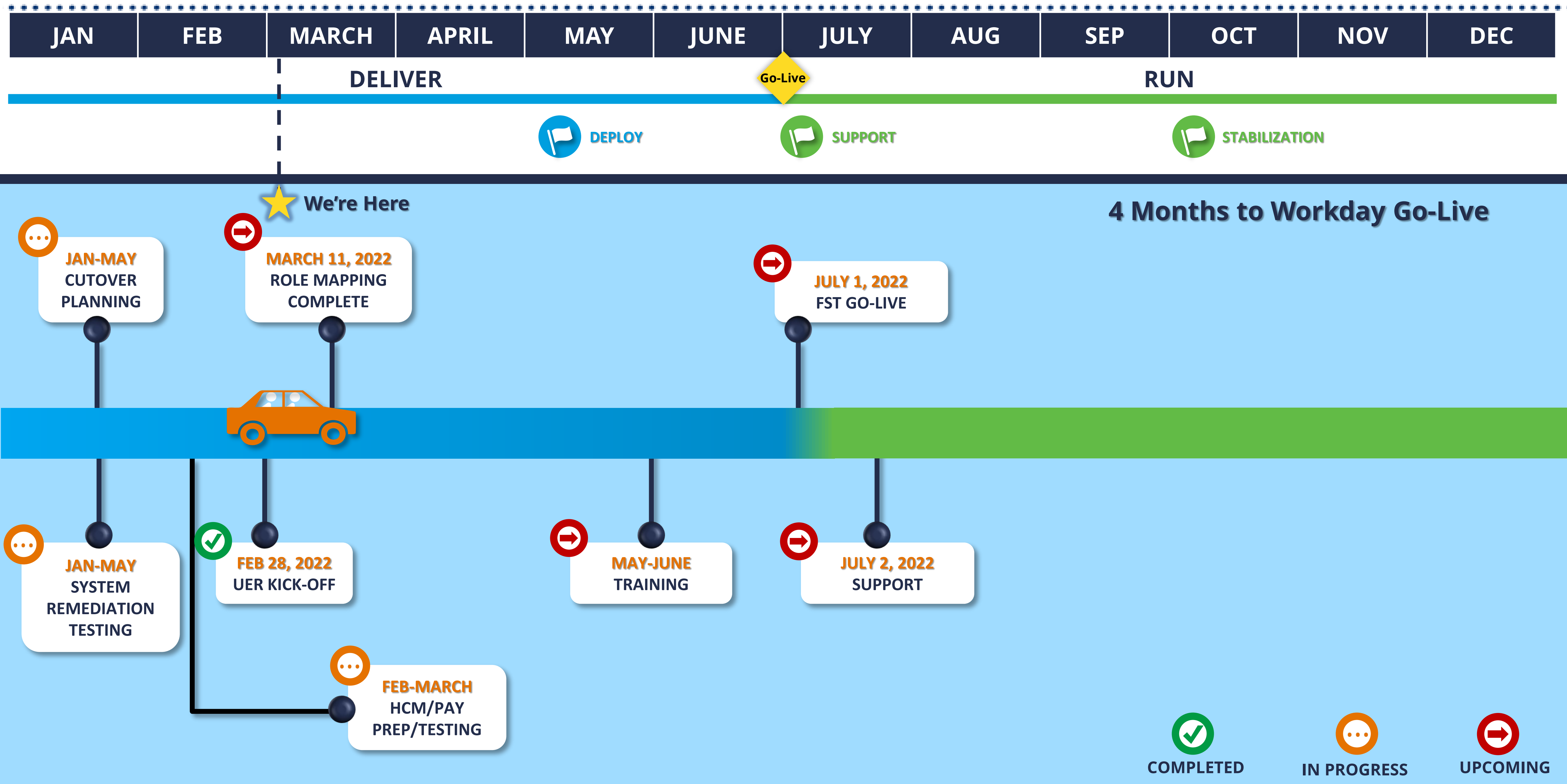
University of Virginia

Fiscal Administrators | What We Heard & Today's Agenda

Topic	Today's Agenda Item / Objective	Target Time
Welcome	Agenda Overview	5 min
FST Project Overview	Project Timeline – Where Are We?	5 min
Engagement Activity	Project Pulse Check	5 min
FDM Updates	FDM Mapping Update	5 min
Security Role to Position Mapping	Security Roles Approach/Timeline	10 min
Change Readiness Assessment Summary Review	Summary of results Feedback Opportunity	15 min
User Experience Review Update	Review Updates Kick-Off	5 min
Training	Training Updates	5 min
Reporting & Analytics	New Updates?	10 min
Post Go-Live Support After July 1	Service Delivery Model	5 min
Other Business and Wrap Up	Questions/Comments	5 min

FST Project Overview

FST Project Overview | What Should I Expect When?



Engagement Activity

Engagement Activity | Poll Instructions

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

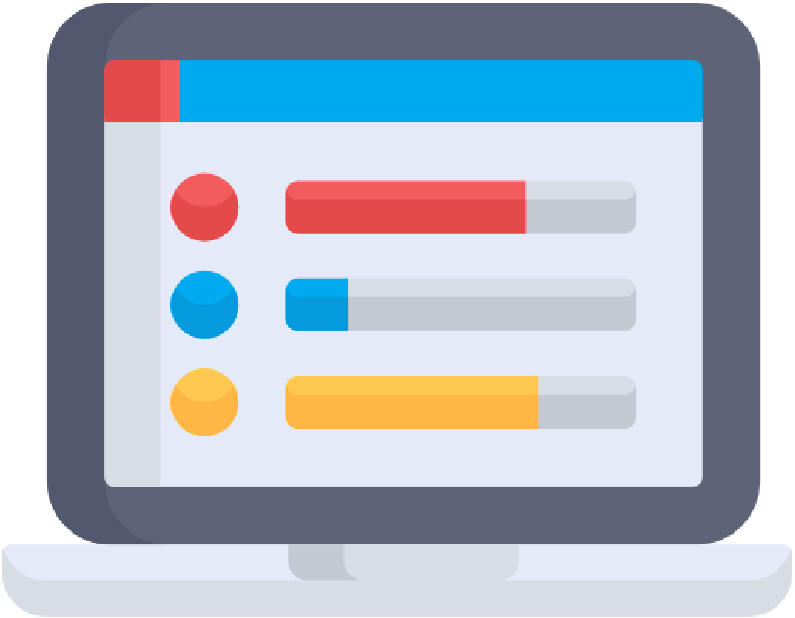
OR

Go to www.menti.com 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

FDM UPDATES

WHATS 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

WHATS 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***

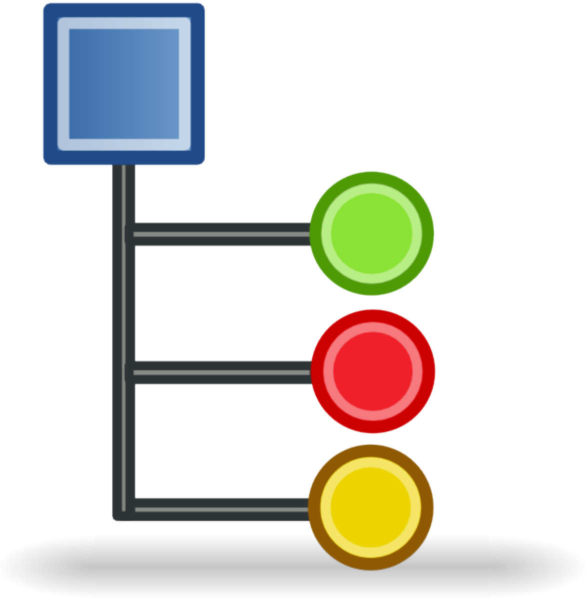
Business Process Driven Tool

- 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

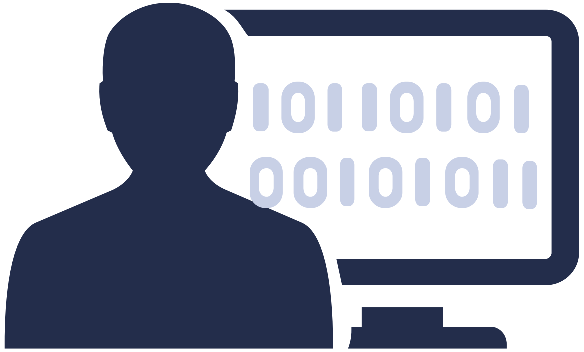
1. **Procurement** – Expense Report Event & Spend Authorization
2. **Procurement** – Requisition Event
3. **Procurement** – Supplier Invoice Request Event
4. **Payroll** – Assign Costing Allocation & Payroll Accounting Adjustments
5. **Accounting** – Account Certification Event
6. **Accounting** – Journal Event, Journal Unpost, & Accounting Adjustment
7. **Internal Service Delivery** – ISD Event
8. **Banking, Settlement and Payments**
9. **Sponsored Research Specific Business Processes**
10. **MBU Role Mapping Submittals** – March 11th



Security Role-To-Position Mapping| Logistics

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

PURCHASE REQUISITION EVENT - OVERVIEW

Employee Shops → Initiator Submits Requisition in Workday → Department Approval (Financial / Budgetary) → Central Office Approval (Assets, Restricted) → PO Created

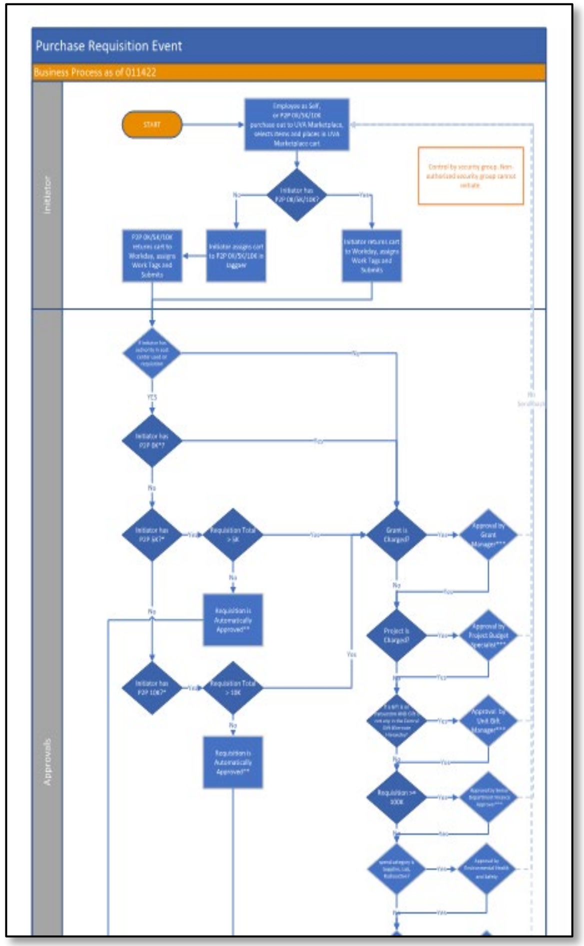
Key Takeaways

1. All employees will have access to the UVA Marketplace and the ability to place items in a shopping cart.
2. Only users with a Requisitioner Role can submit requisitions.
3. Employees without the Requisitioner role can assign their shopping cart to the designated P2P Requisitioner(s) in their school/unit.
4. The Requisitioner Role is assigned to each cost center. There are three types of Requisitioner Roles:
   a. Requisitioner $0K – Someone assigned this role can submit requisitions, but all his/her requisitions route for Departmental approval
   b. Requisitioner $5K – Someone assigned this role can submit requisitions up to $5,000 without stopping for Department Approval.
   c. Requisitioner $10K – Someone assigned this role can submit requisitions up to $10,000 without stopping for Department Approval.
   d. *Note – the $5K and $10K thresholds mentioned above only apply to the cost center the person is assigned to.
5. Departmental Approval Routing Logic
   a. If a Grant exists, routes to Grant Manager for Approval
   b. If no Grant exists, check Project. If a Project exists, routes to Project Budget Special for Approval
   c. If a non-allocated Gift exists, routes to Gift Manager for Approval
   d. If no Grant, no Project, and no Gift, routes to P2P Approver assigned to Cost Center
   e. If the requisition total is greater than or equal to $100,000, routes to Senior Department Finance Approver for approval
   f. If multiple fund types exist on the requisition, it will route for approval based on ALL fund types.
   g. Any approver can send the requisition back to the initiator.
   h. Approvers cannot update the cost center, gift, grant, project, spend category. They must return to the requisitioner if updates to those fields are needed.

Roles & Security

Security Group Type	Security Group	Comment	Context Type	Assignable Role
Role-Based Security Group (Constrained)	Cost Center Fiscal Specialist	Assigned at the cost center level to be the preparer for Account Certifications for activity at the Gift or Designated worktag level.	Constrained by Role Access	Cost Center Fiscal Specialist
Role-Based Security Group (Constrained)	Cost Center Manager	Primary manager for assigned cost centers. Access to cost center spend analytics. Approval authority for financial business processes.	Constrained by Role Access	Cost Center Manager
Role-Based Security Group (Constrained)	Deposit Specialist	The deposit specialist will able to modify and create Ad Hoc Bank Transactions for Location Deposits	Constrained by Role Access	Deposit Specialist
Role-Based Security Group (Constrained)	Expense Support Specialist	Assigned at cost center level to be the first approval of all expense reports.	Constrained by Role Access	Expense Support Specialist
Role-Based Security Group (Constrained)	P2P $10K Requisitioner	Also will have Procurement Shopper role. This gives users requisition "approval" authority up to $10,000 when purchasing within cost centers that they are assigned this role in.	Constrained by Role Access	P2P $10K Requisitioner
Role-Based Security Group (Constrained)	P2P $5K Requisitioner	Also will have Procurement Shopper role. This gives users requisition "approval" authority up to $5000 when purchasing within cost centers that they are assigned this role in.	Constrained by Role Access	P2P $5K Requisitioner
Role-Based Security Group (Constrained)	P2P Approver	Replacing Cost Center Manager with P2P Approver for Spend transactions. They can be the same person depending on cost center setup (reqs, expense reports, supplier invoice requests, change orders, and spend authorizations).	Constrained by Role Access	P2P Approver

Process Flows



Separation of Duties

Tasks or BPs in GREY - would involve a centrally assigned role and are for informational purposes

EXPENSES

BP or Task	Permission Type	Role Example	CONFLICT	BP or Task	Permission Type	Role Example
Expense Report Event	Initiate	Employee or Expense Report Specialist	X	Edit Expense Report	Task	Employee or Expense Report Specialist
Expense Report Event	Initiate	Employee or Expense Report Specialist		Maintain Payment Election	Task	
Expense Report Event	Initiate	Employee or Expense Report Specialist		Payment Election Enrollment Event	Approve	
Expense Report Event	Initiate	Employee or Expense Report Specialist	X	Expense Report Event	Approve	Employee or Expense Report Specialist
Expense Report Event	Approve	CC Manager, Gift Manager, etc.	X	Edit Expense Report	Task	CC Manager, Gift Manager, etc.

Mapping Matrices

BP Action	Purchase Requisition	Expense Report	Internal Service Delivery	Assign Costing Allocation
Central Role				
Employee as Self/Delegate	Assign Cart Only	Initiate		
Employee Manager				Approve if Applicable
Accountant				
Cost Center Fiscal Specialist				
Cost Center Manager			Approve if Applicable	
Expense Support Specialist		Review		
Federal Work Study Specialist				Approve if Applicable
Grant Financial Analyst				
Grant Manager	Approve if Applicable	Approve if Applicable	Approve if Applicable	Approve if Applicable
Deposit Specialist				
ISD Data Entry Specialist			Initiate	
ISP Manager			Review (Wise Only)	
P2P Requisitioner - $0	Initiate			
P2P Requisitioner - $5K	Initiate			
P2P Requisitioner - $10K	Initiate			
P2P Approver	Approve if Applicable	Approve if Applicable		
Payroll Costing Manager				Initiate
Payroll Costing Specialist				Initiate
Payroll Accounting Adjustment Specialist				
Payroll Benefit Vendor Payment Processor				
Payroll Settlement Specialist				

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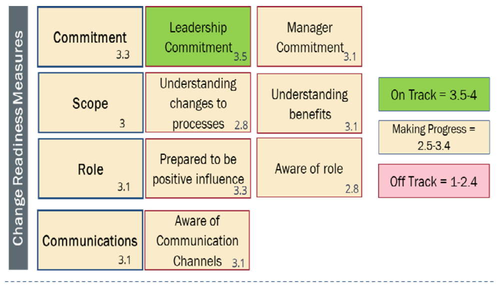
Change Readiness Assessment #4

CRA #4 | Change Readiness Assessment Timeline

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.

July 7, 2020 — CRA 1



April 20, 2021 — CRA 2

October 1, 2021 — CRA 3

February 22, 2022 — CRA 4

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

University of Virginia

Finance Strategic Transformation

CRA #4 | Approach

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.

READINESS DASHBOARDS

CHANGE READINESS ASSESSMENT #4

FOCUS GROUPS

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.

CRA #4 | Unit Readiness Dashboards

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

Readiness Area	Readiness Health Across All Units			Readiness Area not applicable to these units
	On Track	Monitor	At Risk	N/A
Budgets	93%	7%		1 unit
FDM Mapping	73%	27%		
System Remediation	17%	83%		12 units
Role to Position Mapping	47%	43%	10%	
Process Transformation	50%	41%	9%	8 units
Expendable Fund Balance Realignment	0%	50%	50%	12 units
Stakeholder Engagement	60%	37%	3%	5 units

CRA #4 | Focus Groups - Approach

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.*

CRA #4 | Focus Groups - Overall Project Readiness

The Readiness Assessment identified positive progress toward end user knowledge and ability in supporting and executing the transformation.

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.

CRA #4 | Focus Groups - Readiness Themes

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.

1 COMMUNICATIONS

Partner with Change Leaders and host **monthly chats with department managers** and provide them with **standardized resources & talking points** to communicate with their teams

2 ENGAGEMENT

Develop **unit-level engagement approach** that includes **roadshows, system demos, and "day-in-the-life" walk-throughs** for end users

3 ENGAGEMENT

Design end user engagement opportunities based upon **role mapping** to provide **persona-based experiential learning opportunities** to end users

4 TRAINING

Share detailed training plan & associated timeline with end users to generate awareness of **when system access will be granted** and **how end users will learn updated processes**

5 READINESS

Continue adding relevant **tasks/milestones** to **leadership checklists** (e.g., cutover activities) and engage with leaders to monitor progress

6 READINESS

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

User Experience Review

UER Updates | Goals and Objectives

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

UER Updates | Scope and Schedule

March					April			
1st – 3rd	7th – 10th	14th – 17th	21st – 24th	28th – 31st	4th – 7th	11th – 13th	18th – 22nd	25th-29th
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
- Grants
- Gifts
- Internal Service Delivery
- Payroll Accounting
- Procurement
- Supplier Accounts

UER Updates | Reviewer Day-in-the-Life

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.

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:

Training Focus Areas

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

Reporting & Analytics

Reporting & Analytics | Persona Working Group

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.

"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?"

WORKING GROUP MEMBERS

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

Reporting & Analytics | 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

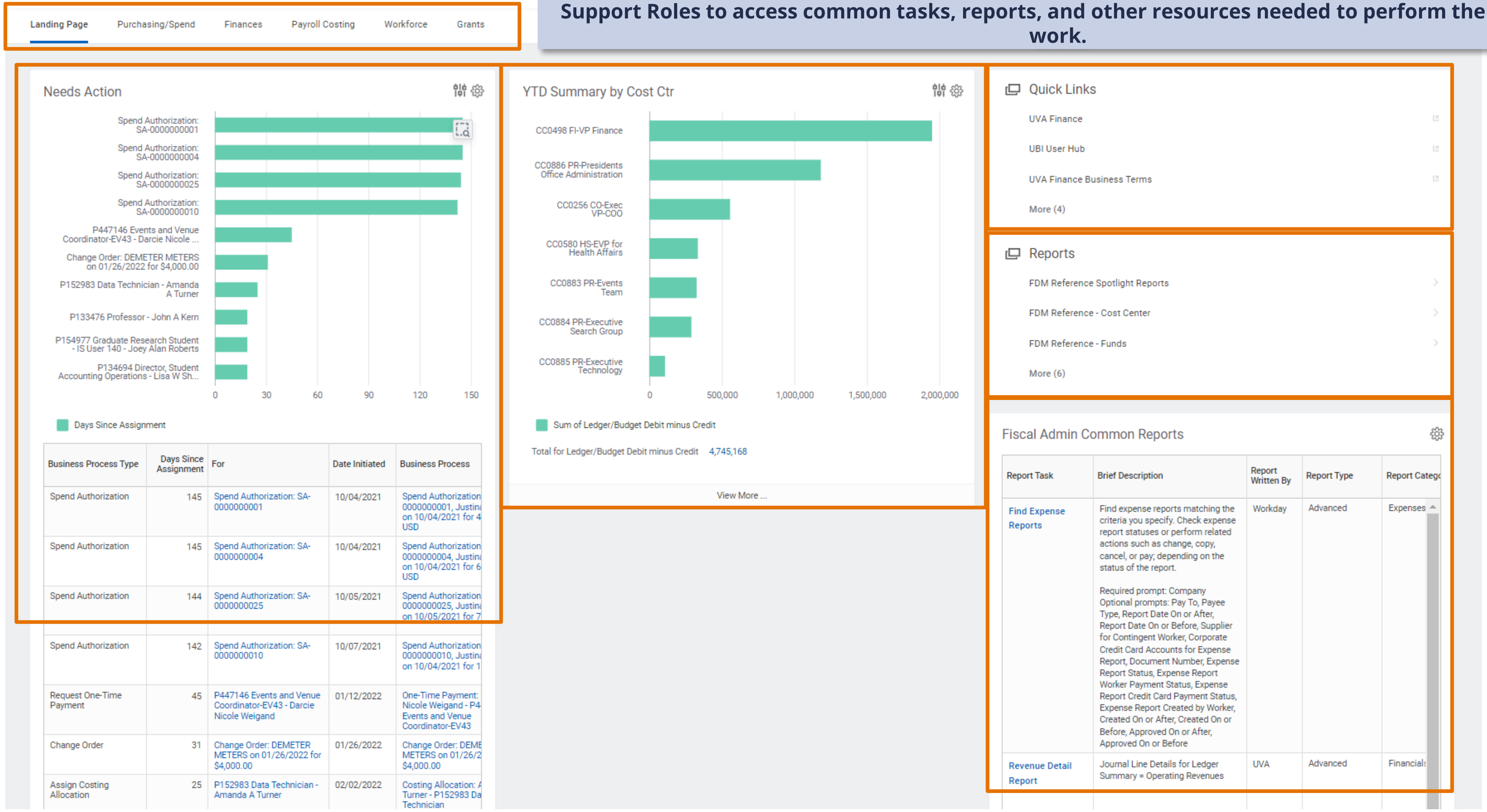
- Access to compensation information
- Tracking fund balances - Split ledger (GL/GA)
- Tracking spending commitments
- Have access to data, but not necessarily actionable information
- Distribution of financial reports to faculty

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

Reporting & Analytics | Dashboard – Landing Page

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.

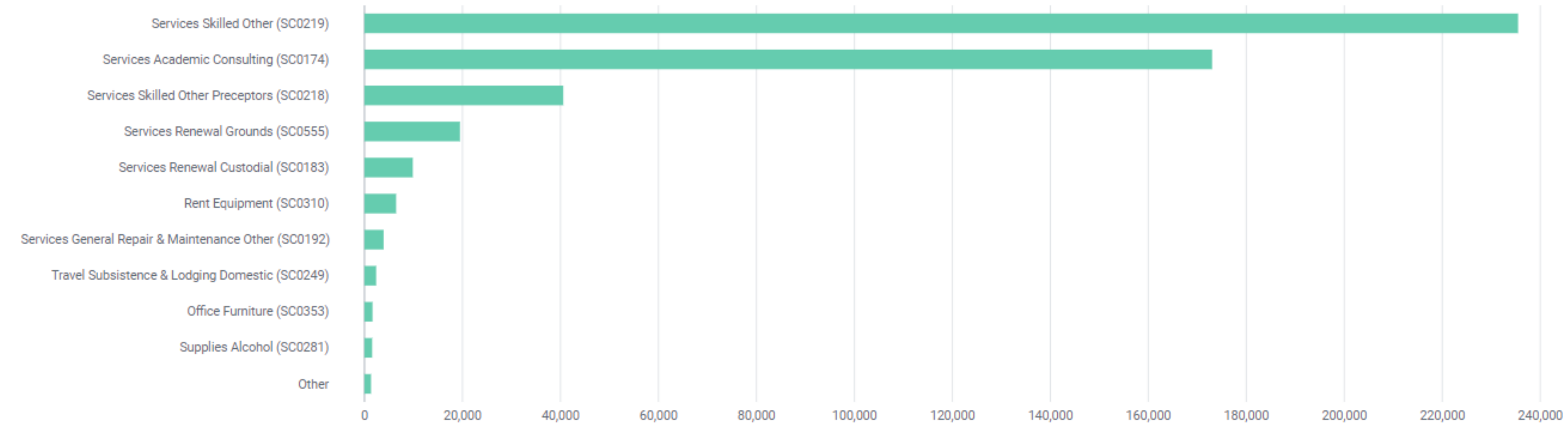


Reporting & Analytics | Dashboard – Purchasing/Spend

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.

Landing Page | **Purchasing/Spend** | Finances | Payroll Costing | Workforce | Grants

OTPS Spend Summary



Sum of Ledger/Budget Debit minus Credit

Total for Ledger/Budget Debit minus Credit 495,882

View More ...

Tasks

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

Reports

- Find Suppliers Contact Info

Quick Links

- UVA Finance
- UBI User Hub
- PaymentWorks Resources
- More (3)

Common Purchasing Reports

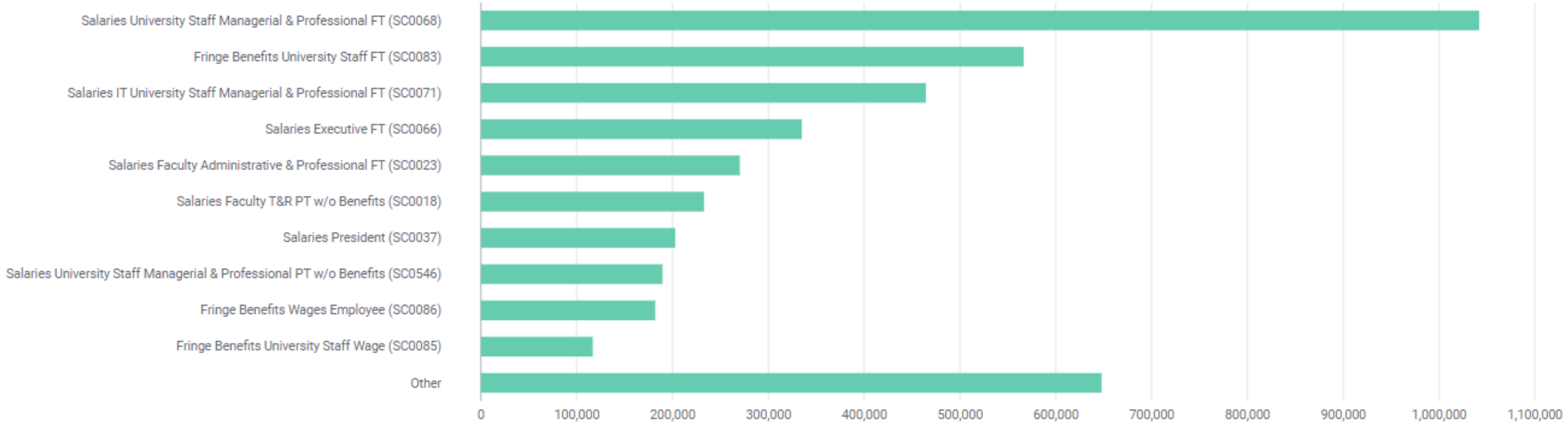
Report Task	Description	Report Written By	Report Type	Report Category	Active Report Tags
1099 Transactions for Corporations		UVA	Advanced	Supplier Accounts	Function: Purchasing Owner: Supplier Accounts UVAFST
Audit Report for Department Purchases	Analyzes purchase orders for potential split transactions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

Reporting & Analytics | Dashboard – Payroll Costing

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.

Landing Page | Purchasing/Spend | Finances | **Payroll Costing** | Workforce | Grants

YTD Personnel Expense



Sum of Ledger/Budget Debit minus Credit

Total for Ledger/Budget Debit minus Credit 4,249,286

View More ...

Tasks

- Assign Costing Allocation
- Manage Period Activity Pay Assignments
- Add Job

Reports

- FDM Reference Spotlight Reports
- Labor Distribution Assignments (ACD)
- Institutional Base Salary Details

Quick Links

- UBI User Hub
- UVA Holiday Calendars
- Fringe Rates

Common Payroll Reports

Report Task	Brief Description	Report Written By	Report Type	Report Category	Active Report Tags
Award Amendment extension date extends payroll commitments Report	This advanced report lists all worker costing allocations. The report uses the Worker Costing Override data source.	UVA	Advanced	Payroll Worker Data	Custom Report Function: Payroll Owner: Payroll UVAFST
Compensation for Workers on Leave		UVA	Advanced	Worker Data	Custom Report Function: Payroll Owner: Payroll UVAFST
Federal Work Study Payroll Balances		UVA	Advanced	Worker	A Work in Progress Custom Report Function: Payroll Owner: Payroll

Post Go-Live Support

Post Go-Live Support | What is Tier 1?

The Finance Solution Center will be UVA Finance's centralized, first human point of contact for most support requests.

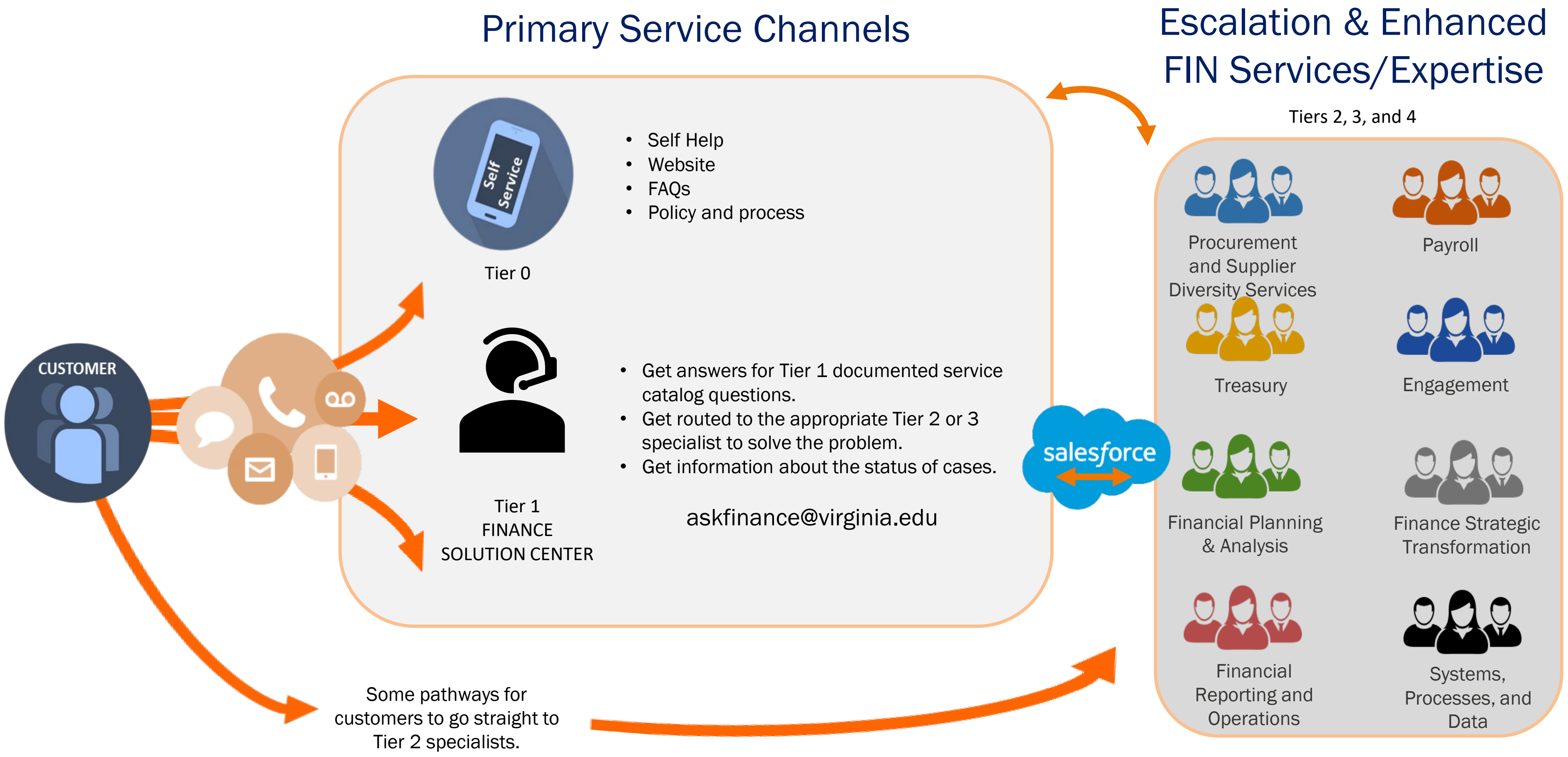
Agents in the Solution Center will be responsible for:

- 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?



Post Go-Live Support | 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-)

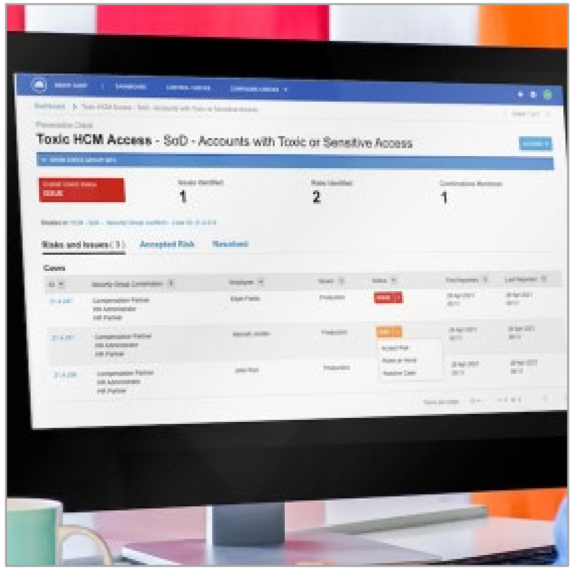
- Lead user support in the Command Center during launch
- Stabilize and refine tier 1 support catalog
- Use data to drive continuous improvement of service experience

Other Business and Wrap Up

APPENDIX – Control Environment & Support

Controls | Kainos Smart Audit

SoD – Toxic Combinations



- Delivered with over 200 standard “toxic combination”
- Evaluate configuration and Business Process
- Monitors Roles & Tasks

Kainos Smart Audit

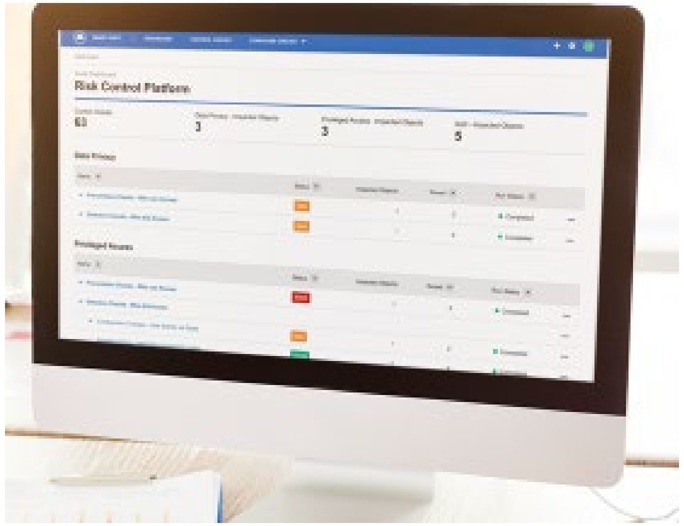
- Kainos Smart Audit – Currently Under Implementation in HCM tenant
- Running Tests with Payroll and Payroll Data Stewards in March
- Analysis and Reporting on:
  - Tasks (security and Execution),
  - BP Security Policy Access (Groups and Workers)
  - Personal Data Access
  - SoD – Security Group Conflicts
  - SoD Accounts with Sensitive Access

BP & Domain Security Policies

Individual Security Groups

Positive Controls Testing

Segregation of Duties Testing



Risk Control Profile

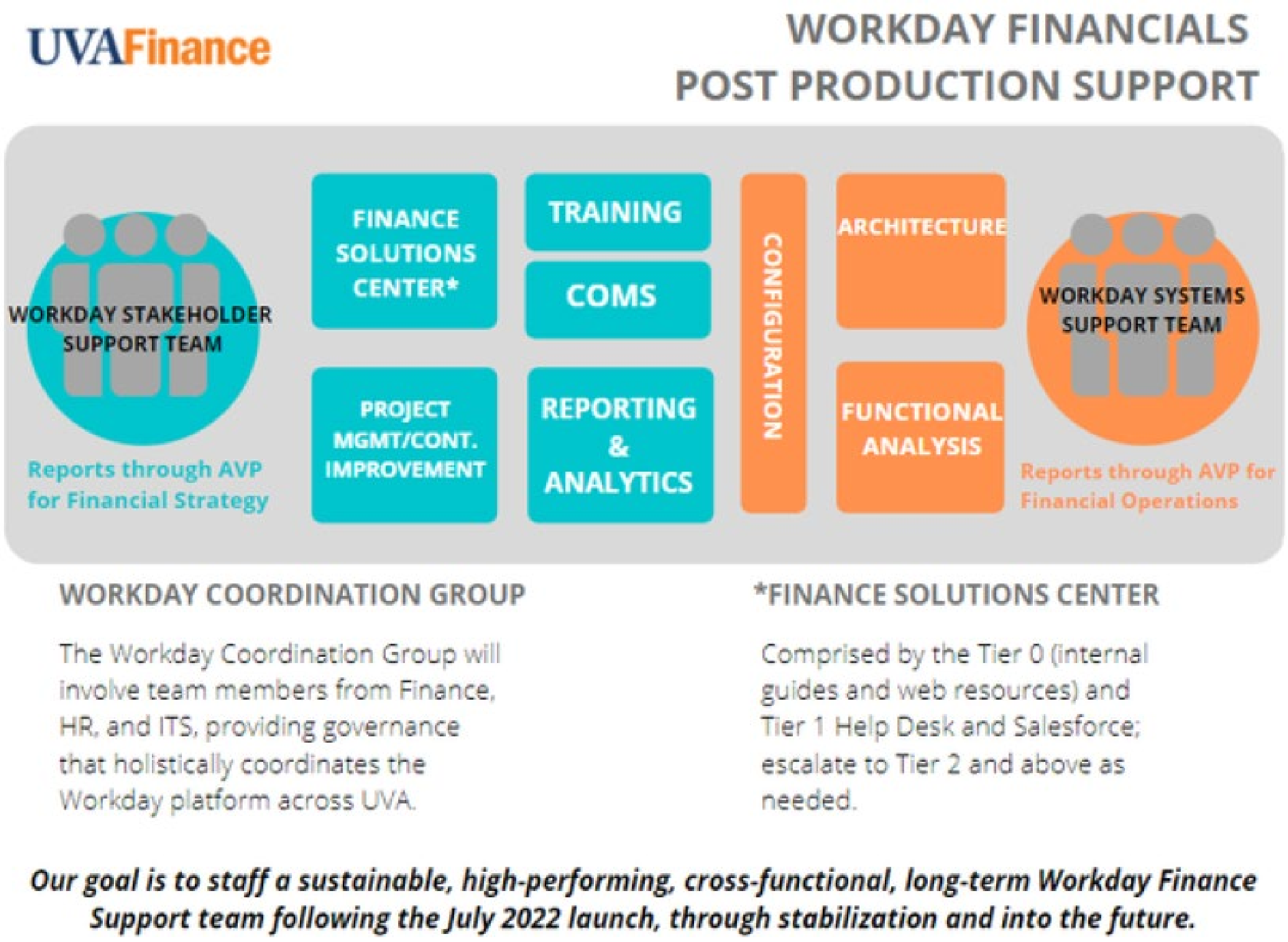
- Access and Security Change Control
- Security Group Membership Validation
- Exception and Monitoring
- Business Process Exceptions

University of Virginia

Finance Strategic Transformation

Workday Financials Postproduction Support - Update

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.



Internal Control | Separation of Duties

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.

Finance Workflow Control & Approval | Statistics

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?

Major Initiatives & Components | UVA Internal Control

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

Internal Control | Roles & Responsibilities

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

Major Initiatives & Components | UVA Internal Control

Address compliance and controls at <u>all levels</u> of the enterprise:

Enterprise Level

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

Leverage Workday:

- Workflow
- Approvals
- Roles
- Access

FST & Workday | Future State

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

Frequency	Worktag/Level	Preparer	Approver
Monthly	Grant	Grant Manager	Principle Investigator
	Cost Center + Designated/Gift Combinations	Cost Center Fiscal Admin	Cost Center Manager
Quarterly	Cost Center Level 4 (MBU)	Recon Admin *(prepares & distributes)*	Senior Department Administrator
Annually	Cost Center Level 4 (MBU)	Recon Admin *(prepares & distributes)*	VP/Dean

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**.

Recon@ Project Key Members	Description
Preparer	The person responsible for the detailed reconciliation, including maintenance of source documents to verify all transactions are legitimate. This role is known as the "**Fiscal Contact"** in the Integrated System and is a required role in the Recon@UVA system.
Examiner	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.
Approver	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.
Principal Investigator	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.
Fiscal Officer	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.
Vice President/ Dean	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.