

AVP-FMS

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Fall 2009: What's New at FMS

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Expanded FMS Training

[FMS Training](#) has a link on the FMS home page which lists all FMS training and detailed explanations of each training session. Topics cover training in FIS, Payroll, TIME, and special financial topics..

Fiscal Officer Development Series (FODS) Featured in National Magazine

NACUBO's *Business Officer* featured IU's FODS program in the August issue. See the [Polish Your Staff's Performance](#) article.

FODS has its own web presence at <http://www.fms.indiana.edu/avpfms/FODShome.asp>. Click here to see the [curriculum for 2009-2010](#) for this program now in its sixth year at IU.

KUALI

IU KualI Website

A new website has been created to communicate the KualI project to the university community, <http://kuali.iu.edu/>. This site has information about the two initial KualI products, KualI Financial System (KFS) and KualI Coeus Research Administration (KC), currently scheduled to be implemented at IU over the next 2 years.

Interested IU faculty and staff can visit the website to find details of the IU KualI implementations, as well as links to the overall KualI project and related news. In addition to descriptions of the organizations, deliverables, governance, and the project timelines, there will be links to documentation, and training. A glossary is provided, as well as Frequently Asked Questions and a form for feedback.

KFS Timeline Update

The timeline for the IU KFS implementation has been formally announced. January 2011 will see IU's Financial Information System (FIS) replaced with KFS for all users. In November 2011, all EPIC users will begin using KFS for all purchasing business. The complete project timeline can be seen at: http://kuali.iu.edu/kfs/project_timeline.shtml

Payroll

Important Notice about International ACH/Direct Deposit

Due to new banking regulations, beginning September 18, 2009, funds electronically deposited via Automated Clearing House (ACH) in a U.S. bank and then forwarded to a non-U.S. bank are required to include additional information that is not currently being collected. Until this additional information can be obtained, payments of this nature must be paid by paper check or will be rejected by the ACH network. [Click here for full details.](#)

PAO and PAU Transition to Bi-weekly Pay Cycle

Doing the Right Thing

How sure are you that your staff would report potentially improper behavior? The August issue of *Business Officer** challenged readers to examine their own institutions by answering questions on a checklist for creating an ethical culture.

We set out to answer these questions using IU's web resources and an interview with Terry Radke, IU's Internal Audit Director. The questions and answers show how IU stacks up on the business of ethics.

1. Does IU currently have an established code of conduct?

Yes, the [IU Staff Handbook](#) clearly addresses this under "Employee Conduct."It includes information on "Employee Responsibility" for reporting misconduct as well as the "Whistleblower Policy," which protects employees from repercussions for reporting such behavior.

That section also includes links to the [Internal Audit website](#). "Internal Audit provides an independent evaluation of the adequacy of internal controls and reports the results to IU administration and the Board of Trustees," Terry Radke explained. Internal Audit conducts annual audits of IU units, as does the Indiana State Board of Accounts, and serves as a check to monitor the overall ethical health of the university. Their website includes additional information about the role of Internal Audit, the audit process, contacts for advice and assistance as well as publications and materials to help raise awareness of and strengthen internal controls.

If you are an IU manager, a must read is "[Internal Controls: A Guide for Managers](#)," which explains what internal controls are and what your managerial responsibilities are at IU.

2. Does IU offer training, and if so, is it an ongoing process and not just a single event?

IU provides information through both classroom training and online and print resources such as newsletters.

For Fiscal Officers there is the [Fiscal Officer Development Series \(FODS\)](#) which strives to provide current, new and prospective fiscal officers with a "tool kit" for success. The program, comprised of monthly 1 or 2 day sessions over the course of a year, acquaints fiscal officers with their responsibilities and educates them about the resources available to them. Each IU campus nominates fiscal and other administrative staff to participate and present on a variety of compliance and policy-related topics. *Business Officer** featured IU's FODS program in the August issue: [Polish Your Staff's Performance](#). In addition, FMS provides ongoing training related to financial policies.

For the majority of IU staff and faculty there is the *HR Employee and Organization Development* workshop series each semester in Bloomington. A category of workshops about policies and procedures, including ethics is offered. Workshops can also be arranged for employees on other campuses based on interest and need.

"There is also newsletter training which has been broadened to include policy issues throughout the university," Radke noted. This includes University Human Resource Services' [The Informed Employee, IU Purchasing Newsletter](#), and the [Treasury Operations newsletter](#).

3. How current are IU's training programs and code of conduct?

Behaviors drive change. If a situation is noted as a trend or widespread behavior, IU takes action, offers training and gets the word out about policy changes. At times employees unknowingly break the rules. For example, an employee with a vendor told an Indiana State Board of Accounts auditor

FLSA directive issued March 02-09 on PAO and PAU job recordkeeping and overtime regulations went into effect August 2009. [Payroll has added and Q and A additional information to their web site](#) to answer employees questions. Pay Dates are also posted on the Payroll web page with IU Pay Dates.

Departmental Payroll IUIE Reports
Fiscal officers and payroll processors: To access your departmental payroll IUIE reports, the link is [payroll/iuie_payroll_report_steps.asp](#). There are a dozen reports you can access with detailed instructions on what each report is and how to access it.

Accounts Receivable, Auxiliary Accounting, Capital Assets, and Student Loan Administration Depts.

Dates regarding FY2010 Q1 Variance Analysis are as follows :

Friday, October 30th: Variance Analysis due from orgs to Auxiliary Accounting (fmsaux@indiana.edu).

Friday, November 6th: Follow-Up questions will be distributed to orgs regarding their Variance Analysis.

Friday, November 13th: Answers to follow-up questions due from orgs to Auxiliary Accounting (fmsaux@indiana.edu).

Accounts Payable

Announcement: 9041 Reports in IUIE are designed for monitoring EPIC Activity

This notice describes improved 9041 reports and new 9041 reports available to you in IUIE. 9041 is the object code for Accounts Payable Liability. Values are populated between the time of AP Approval of PREQs and CMS and the time of disbursement. The AP Approval of PREQs will credit 9041. The AP Approval of CMs will debit 9041. When disbursement is made the PDP action will offset the prior credit and the prior debit. When the payment cycle is completed the 9041 balance for the transaction is zero.

[Click here to read about the two sets of 9041 reports](#) (5 reports each). Please use these reports to benefit your 9041 reporting and reconciliation. Questions can be directed to Charlie Sinex, FMS Accounts Payable, at csinex@indiana.edu.

Tax Updates

The FMS tax web pages have much to offer at [Tax Forms and Publications](#). Check it out! Link to our [university exempt forms page](#) where you can download our IRS determination letter that describes us as a 501(c)(3) organization and access to the sales tax exemption certificates for purchases in IN and other states.

Please add these links to your websites.

FMS Staff Changes

Susan Norrell began working in FMS in August as the Tax Compliance Officer and Team Leader. She began her tax accounting career with KPMG Peat Marwick. Since then she has worked in a number of states either as a tax accountant or as a tax consultant. Susan brings with her years of tax experience and she looks forward to her time at IU. Susan replaced Hal Jankowski who moved to UITS.

Mike White joins FMS as a Payroll Systems Analyst in September. He brings with him years of PeopleSoft functional and technical experience specific to payroll. He has worked at

that IU employees receive personal rewards points while making purchases with an IU Purchasing card (P-card). In checking all IU P-cards, one-third of P-card users had received such reward points with this vendor. Most users were not aware that this is an illegal activity so IU has added a warning to the [P-Card Restrictions list](#) about the use of personal reward cards when making purchases for IU. Purchasing also uses their newsletter to raise awareness of such issues.

4. Does IU currently have an external reporting mechanism for whistle-blowing and does it include case management tools?

Yes, the "Employee Conduct" section of [IU Staff Handbook](#) describes IU's Whistleblower Policy and includes a link to the Internal Audit website. From their site employees can access the Anonymous Reporting Hotline. Employees have a responsibility to read IU policies I-30 and I-35 about reporting fiscal misconduct and fraud and not turn a blind eye to these situations. (Both I-30 and I-35 will link to Financial Policies web page at <http://www.indiana.edu/~vpcfo/policies/accounting/home.html>)

The Anonymous Reporting Hotline, which operates through a third party vendor, assures complete anonymity for IU employees reporting financial or other types of misconduct. The third party vendor issues an ID and password to the reporting employee to maintain anonymous contact and ensure the security of the employee's job. Employees who have made a report can check the site in the future for updated information about their report.

If an employee is unsure if there is an issue, there are a series of Control Self-Assessment Questionnaires to help them.

5. Does IU enforce these guidelines and take action on infractions?

"Yes," said Radke, "we want IU to know first and correct any situation. We get a report from the Anonymous Reporting Hotline and immediately set up an audit and focus on the reported behavior." Reports made through the Anonymous Reporting Hotline are distributed to Internal Audit, the IU President, and the Board of Trustees. Radke said "IU has a very active Board of Trustees, requiring Internal Audit to act immediately on any suspicious situation."


Each report is investigated and if the allegations are substantiated an audit report is issued with color coded assessments of the findings:

- Yellow: Some findings but not serious; recommend training, reprimand, or other action as needed.
- Red: Serious incident involving theft, fraud or violations of university policies revealed in an audit of the situation.

6. Are your employees aware of the items noted above?

As noted, in addition to the FODS and HR series of workshops offered each year, departmental newsletters throughout IU provide another venue for raising awareness of ethics guidelines and the reporting hotline.

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a variety of companies and we look forward to gaining from his experience. He is replacing Lora Headdy who has moved to UHR.