Budget and Supervision Workshop for New Chairs
May 11, 2020
Why?

- Non Profit Corporation
- Federal Government Oversight
- Audited Financial Statements
- Internal Control Report
- Reputational Risk
Expense Reimbursement

- **Travel**
  - Actual expenses incurred up to $75/$100
  - No Per diem. Per diem would be less.

- **Business**
  - Dinner $50, Lunch $25, Breakfast $20
  - Employees only: clear and compelling reason
  - Receptions: up to $10 per person; cabinet approval required if total cost exceeds $500
  - non-University personnel: reasonable

- **Timeliness**
  - Within 30 days/IRS rules are 60 days.

- **Special Year End rules**
  - must be charged to the year in which it occurs

- **Rules apply regardless of funding source.**
Valid Documentation – non taxable payments to individuals have a high burden of proof. Ordinary and necessary in field, not excessive or luxurious.

NOT VALID

VALID - Both
CTW OneSource

- Fast, convenient way to purchase
- Eliminates Vouchers
- You may be in the workflow and people are waiting on your approval.
# OneSource Suppliers

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STUDENT PAYMENT VOUCHER ATTACHMENT

This form must be attached to every voucher payable to a student as a Stipend, Trainee/Research Fellowship, or Prize/Award. Check the appropriate box and provide additional information/documentation as required. See Payments to Students Flowchart for additional assistance.

Note: This form is not required for reimbursements paid to students who have incurred University Expenses.

☐ PRIZE/AWARD (Account 88600) – A payment for recognition or achievement.

Provide the name or brief description of the Prize/Award:
________________________________________________________

☐ STIPEND (Accounts 88170-8817x, 88100, 83925, 83930, 84210, 84518, 84580-84589) – A living allowance to help defray living and other costs. Stipends primarily benefit students to further their education. In no instance is a stipend a payment involving services as it relates to work. An estimated budget or list of expenses must be attached to the voucher.

☐ TRAINEE/RESEARCH FELLOWSHIP (Account 88400) DETERMINATION

I attest that ALL of the following requirements have been met to pay a Fellowship via AP (check all that apply).

☐ Student is paid to study.
☐ Student benefits from the work.
☐ Student is conducting independent research.
☐ Student directs the course of study.
☐ Student maintains patents or copyrights with respect to the work.
☐ Student is able to determine the subject matter of the research work.

If any of the above statements are not true, a Fellowship must be paid via Payroll.
Payments to Students

- **Non Resident Aliens**
  - Highly regulated
    - H-1B and F-1 Visas may only accept payment from Visa sponsor
    - J-1 requires an approval letter

- Complete the Foreign National Information Form (FNIF)

- Visit Christine Rodrigue when on campus

- Resource: NRA Visitor Payment Checklist
Payments to Non-Employee Individuals

- Ex: Speakers, Artists, Consultants.
- Negotiation and contract prior to services provided.
- Employee vs. Independent Contractor checklist
- NRA compliance
- Contract for payments greater than $500
- Resource: Flowchart
Resources

- Monthly Newsletter
- [www.wesleyan.edu/finance](http://www.wesleyan.edu/finance)
- Dept Admin Assistants – Meet monthly
Budget & Financial Processes
Financial Planning Office

- Sun Chyung – Director
- Prashanie Silva – Senior Budget Analyst
- Tania Regina – Senior Budget Analyst
Chairs Financial Responsibilities

- Budget Planning (Late spring-Summer)
- Budget Management (Year Round)
Budget Planning

- Budget planning is to align the upcoming year’s budget to where expenses are most likely to occur.
- Administrative Assistants have been trained to:
  - Provide reports on how the department budget was spent in prior years.
  - Transfer budget to the appropriate expense categories.
Budget Management

- Budget management encompasses:
  - Reviewing and Approving Expenses (on a timely basis).
    - Is the expense appropriate?
    - Is this expense being charged to the right chartfield (smartkey/account)?
  - Reviewing Budget v Actual Reports (at least monthly). Reports should be provided by the Administrative Assistants.
  - Bringing in a balanced budget by year-end.
Chart of Accounts

Example:

FUND (3 digits) DEPARTMENT (4 digits) XXX (3 digits) ACCOUNT

SMARTKEY

100 1095 100

84500

7=Revenue 8=Expense

(3 digits) (4 digits) (3 digits)
Commonly Used Fund Codes
Wesleyan Funds

Unrestricted Operating Budget:
- 100 - Unrestricted Operating Budget
- 101 - Academic Affairs Grants in Support of Scholarship
- 104 - Academic Affairs Faculty-Student Internships
- 140 - Ploughback

Restricted Funds:
- 60X - Gifts
- 65X, 66X, 67X - Endowments

Capital:
- 131 Academic Affairs Computing Capital
- 132 Academic Affairs Non-computing Capital
Commonly Used Fund Codes
External Funds

External Grants

5XX
There are three budgeting levels in the University:

- **Smartkey** (e.g. 1001095100 = Finance)
- **Account subgroup** (e.g. 84500 = Travel)
- **Account** (e.g. 84505 = Airfare)

Most of the University including academic departments budget at the account subgroup level.
Wesleyan Financial System
Budget Checking #1

1. Is there enough budget in the Smartkey?
   - No - > Budget Error Will Be in Red
     - Error must be cleared in order to submit to workflow:
       - Must charge expense to a different smartkey that has enough budget and is appropriate for the expense OR
       - Transfer enough budget to smartkey being charged and re-budget check the transaction.
2. There is enough budget at the Smartkey. Is there enough budget at the Lower Level (account subgroup or account detail):

- No - > Budget Warning Will Be in Yellow
- Indicates that you are spending more than you planned in a specific expense category (i.e., travel).
- It is okay to approve expenses with budget warnings, but you may want to review and reallocate your budgets if your plans have changed.
Workflow & Approvals
Who is the Primary Approver?

Wesleyan Funds -
- Unrestricted Operating, Gifts, and Endowments (excluding GISOS and Ploughback) -> Departmental Chair
- GISOS -> Academic Affairs
- Ploughback -> Individual Faculty Member

External Funds -
- External Grants -> Principal Investigator
Workflow & Approvals

General Concepts

- Workflow & approvals differ by fund.
- The greater the dollar amount, more approvals are needed for payment.
Workflow & Approvals

What will Chairs Approve?

Departmental Chair will approve:

1) Expenses over $1,000
2) Payments to Individuals from the first $1
Workflow & Approvals
Pre-approvals

• For federal grants, purchases over $3,000 require a purchase order (PO) documenting at least three price quotes and the basis for vendor selection prior to making a purchase. Purchases over $150,000 require a formal bidding process that involves Olga Bookas, Director of Purchasing. (Please see http://www.wesleyan.edu/finance/grants/federal_purchasing.html for the formal policy).

• For Wesleyan funds, purchases of $5,000 or more require a purchase order prior to making a purchase.
## Workflow & Approvals
for Unrestricted Operating, Gifts and Endowments
(excludes Grants in Support of Scholarship and Ploughback)

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# Workflow & Approvals for Grants in Support of Scholarship

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# Workflow & Approvals for Ploughback

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### Workflow & Approvals

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WFS

- **Workflow & Approvals**
  - Email notification and Approval Inbox in WFS
- **Budget v Actual Reports**
  - Smartkey Summary and Other Inquiry Reports
  - Recurring reports (ask your Admin Asst to setup).
- **Salaries & Benefits**
  - Salaries & Benefits for staff are budgeted for the approved workschedule.
  - If overtime or additional pay is needed, the departmental budget will need to pay for it.
WORKFORCE SOFTWARE DISCUSSION

MAY 11, 2020
Conversation Overview

1. Why are we changing how we track time?
2. How will this impact Academic Departments?
3. Questions?
In response to complaints from employees regarding the inefficiencies within our timekeeping processes, the University began re-evaluating the existing approach.

- There are many different processes used currently to track time.
  - Particularly with regard to student time, there are dozens of ways time is tracked across the University.

- The most sophisticated process involves a piece of technology built by ITS nearly 20 years ago (ATTrack).

- Nearly all involve manual intervention which are inefficient and error prone – examples include:
  - Manually keying time into a system that was originally recorded on paper.
  - Manually transferring data from one system into another.
Internal Audit Observations

Payroll internal audit completed this Winter – observations regarding timekeeping include:

*Timekeeping is performed in different systems by different employee classifications, does not use automated approval workflows, and is manually entered by Payroll in certain circumstances.*

*Timesheets for hourly employees do not track start and stop time worked as required by CT Department of Labor regulations (only hours per day) and are pre-populated with employees’ scheduled hours.*
Project Goals

Improved use of technology to minimize inefficiencies and manual interventions (including errors in manual processing)

Improved compliance with CT Department of Labor and Federal Work Study regulations
Impacts to Academic Departments

Faculty

• Not tracking faculty time in the system

• Approving time submit by AAs and student workers

• Can identify a proxy when needed – similar to voucher approval process
Impacts to Academic Departments (continued)

Secretarial Clerical union members:

• Currently use ATTrack to record the number of hours worked – hours are prepopulated to represent their work schedule

• In Workforce, Sec/Clerical members and other non-union hourly staff will fill out a timesheet and type in the time they started work and the time they stopped
  • Should feel similar to current use of ATTrack
  • Not “punching” a timeclock
Impacts to Academic Departments (continued)

Student workers:

- Approving time submitted by students – Federal Work Study requirement
- Can identify a proxy when needed – similar to voucher approval process
- Time recording options for students:
  - Phone / tablet / PC options to access mobile timeclock
  - Geolocation discussion
New Supervisor Responsibilities

• Time off requests will be approved by supervisors in Workforce Time

• Time worked for both AAs and Students will be approved by supervisors in Workforce Time on a weekly basis by noon on Tuesday following the week worked
  • Email reminders will be generated on Monday at 4pm and Tuesday at 10am
  • Time not approved will still be paid
  • Student time not approved will not be eligible for work-study and 100% of the student wages will be charged to the department (vs. 50% if the student has work-study)

• If a student works during class time, a supervisor is required to acknowledge in Workforce Time that the student was able to work because class was cancelled on that day (Federal Work Study Requirement – students are not allowed to work during class time)

• Supervisors are now responsible for payroll budgets for hourly employees and should monitor budgets in either Workforce Time or WFS.
Go-Live Schedule for Workforce Time

• On Monday, July 27th, all hourly staff and students will begin recording hours worked and leave time in Workforce Time

• Paid time off balances for hourly staff will be transferred to Workforce Time on July 25th and should be reviewed and updated prior to July 25th.

• Training and testing for a small group of employees across several departments will happen in June

• Online training sessions will be offered via Zoom for the entire community and will be scheduled in July and continue through October.

• On demand training sessions will be available for download to view starting on July 6th
Questions?
Chairs Workshop - Supervising Staff

MAY 2020
Topics for Today:

• Your role as a supervisor
• Union and administrative employees
• Recognition and performance
• Resources – Academic Affairs and HR
• Wes Portal Resources
Role of Chair as Supervisor

• Establish a collaborative relationship
  Discuss transition from previous Chair or Director
  Communicate expectations and changes
  Discuss employee challenges and concerns
• Provide guidance to union and non-union employees regarding University policies.
• Review and approve hours worked and time off for employees.
• Recognize and review performance.
• Be accessible, engaged, clear, and consistent.
Being a Supervisor: It Takes Courage!

4 Principles
1. Be honest.
2. Don’t treat people identically.
3. Don’t use policies as a crutch.
4. Give real feedback.
Real Feedback – Not Fluff

• Gentle criticism – specific examples
• Sooner is better...
• Feedback: two purposes
  o Improve performance and/or
  o Maintain performance
Employee Groups

Union employees – Secretary/Clerical

• Includes ~115 administrative assistants, department assistants, postal clerks, accounting specialists, and library assistants.

• Organize and bargain collectively over wages, benefits, and working conditions.

• Secretary /Clerical contract up for renegotiation this summer.

Administrative Employees - research associates, facility managers, budget/grants coordinators.
### Employee Groups (cont.)

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<th>Administrative Staff</th>
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<td><strong>Hours of Work</strong></td>
<td>Normal full-time workweek based on 35 hour schedule, or 1820 hours per year. Workweek can be adjusted to include longer hours during academic year and shorter hours in summer and still remain full-time</td>
<td>Normal full time workweek is based on 37.5 hour schedule Variety of alternate work schedules available</td>
</tr>
<tr>
<td><strong>Overtime</strong></td>
<td>All hours in excess of schedule, must be approved in advance. Eligible for overtime after 40 hours in a workweek. Under strict conditions, compensatory time may be an alternative</td>
<td>Most are salaried staff and ineligible for overtime Hourly staff eligible for overtime after 40 hours in a workweek.</td>
</tr>
<tr>
<td><strong>Timesheets</strong></td>
<td>Required to complete accurate weekly timesheets</td>
<td>Salaried employees required to record paid time off usage only Any hourly administrative staff required to complete accurate weekly timesheets</td>
</tr>
<tr>
<td><strong>Paid Time off</strong></td>
<td>Vacation, Personal, Sick time, Floating holiday</td>
<td>Vacation and Floating Holiday. No personal time or sick time (unlimited sick for casual absences)</td>
</tr>
<tr>
<td><strong>Pay Frequency</strong></td>
<td>Weekly</td>
<td>Either semi-monthly or monthly</td>
</tr>
<tr>
<td><strong>Pay increases</strong></td>
<td>Negotiated general wage increases</td>
<td>Merit based increases from annual performance review process</td>
</tr>
<tr>
<td><strong>Performance reviews</strong></td>
<td>Optional but encouraged. Goals can be assigned – employees cannot complete self-assessment or annual goals</td>
<td>Required. Basis for salary increases. Recommended employees complete self assessments. Goals are required</td>
</tr>
<tr>
<td><strong>Bargaining unit status</strong></td>
<td>Union</td>
<td>Non-union</td>
</tr>
<tr>
<td><strong>Policy Resources</strong></td>
<td>&quot;Contract&quot; – Agreement between Wesleyan University &amp; Office &amp; Professional Employers International Union Local 153</td>
<td>Wesleyan University Handbook of Policies and Procedures for Administrative Staff <a href="http://www.wesleyan.edu/hr/wesleyan_handbook.pdf">http://www.wesleyan.edu/hr/wesleyan_handbook.pdf</a></td>
</tr>
</tbody>
</table>
Recognition and Employee performance

• Service awards (5 year service increments)
• Cardinal Achievement Awards (supervisory nomination)
• Annual reviews
• Letter to personnel file
• Professional development – Success at WES
• Tuition assistance
Performance Reviews

• Performance review process - employee’s work against core responsibilities, competencies, and attainment of annual goals.

• Chairs complete reviews and view past reviews in the “Manager’s Toolbox” in Wes Portal.

• Administrative employees encouraged to complete self assessments.

• Compensation increase tied to final rating.

• Union employees can receive performance reviews. Rating is not tied to compensation. Union employees cannot be asked to complete self assessments or goals. Goals can be assigned.
Performance Management

**Union employees have the right to a union representative during any meeting to talk about their performance.**

- Identify the problem and determine the desired behavior.
- Provide clear and specific examples to the employee.
- Discuss ways to address the problem and agree to a solution.
- Document the conversation and share with the employee. Retain a copy for your file.
- Check in with the employee on a regular basis and provide feedback.
- Celebrate success OR determine next steps for corrective action.
- Consult with HR.
Role of Academic Affairs

Staff related requests are coordinated through the Office of Academic Affairs and require approvals:

• Temporary and permanent vacancies
• Requests for overtime and additional hours
• Performance management
Role of Human Resources

- Recruitment and hiring of union and administrative employees.
- New hire paperwork and general onboarding.
- Benefits coordination and leave management.
- Employee relations with union and administrative employees.
- Consultation with chairs and supervisors.
When to Call HR?

- Performance issues – Toby Bates
- Employee is out on leave – Benefits
- Questions regarding staff policies – Toby Bates or Lisa Brommer
- Hiring and reorganizing job duties – Anjali Tamhanker
- An employee gets injured – workers comp – Amy Walsh
WesPortal Resources

Supervisor/Manager Resources
• Employee and position data
• Review employee time reporting and time off
• Approve annual vacation accruals
• Review previous years’ performance reviews
• Resources related to new employees and leaving employment

Careers@Wesleyan
Questions?