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INTRODUCTION
The Student and Academic Life Business Office Standard Operating Procedures Manual has been developed for use in Student and Academic Life. Along with contact information for Student and Academic Life Business Office staff members, the manual provides information and descriptions of common business procedures. The purpose of the Standard Operating Procedures Manual is to identify standardized business practices toward achievement of improved business performance.

STUDENT AND ACADEMIC LIFE SHARED BUSINESS OFFICE RESOURCE
❖ E-mail: AEBC@uky.edu via email message template using Subject:
  ▪ Budget Request
  ▪ Finance Request
  ▪ HR/Payroll Request

STUDENT AND ACADEMIC LIFE BUSINESS OFFICE TEAM
❖ Gloria Robinson, Budget Analyst Lead
  Gloria.robinson@uky.edu; 859-218-2611; 541 Patterson Office Tower, 0027

❖ Kari Ball, Financial Specialist
  Kari.ball@uky.edu; 859-257-1518; 531 Patterson Office Tower, 0027

❖ Ryan Bentley, Financial Specialist
  Ryan.bentley@uky.edu; 859-257-4428; 533 Patterson Office Tower, 0027

❖ Laura Carter, Financial Specialist
  Laura.carter19@uky.edu; 859-218-5991; 531 Patterson Office Tower, 0027

❖ Marc Heft, HR/Payroll Specialist
  Marc.heft@uky.edu; 859-257-7393; 539 Patterson Office Tower, 0027

❖ Teresa Pinkston, HR/Payroll Specialist
  Teresa.pinkston@uky.edu; 859-257-2898; 516A Patterson Office Tower, 0027

❖ Keri Puckett, HR/Payroll Specialist
  Keri.puckett@uky.edu; 859-275-1528; 516 Patterson Office Tower, 0027
BUDGET AND FINANCE KEY RESPONSIBILITIES AND PROCESSING TIMELINES

**Budget Analyst Lead Responsibilities:**

1) Budget planning and analysis.
2) Support Student and Academic Life units in annual operating budget and planning processes for new fiscal year budget preparation.
3) Maintain position budgeting/funding and reporting hierarchies in the University's budget system.
4) Budget transfers and revisions, recurring and nonrecurring commitment funding.
5) Account creation/change forms, (i.e., Cost/Fund Center and Endowment Fund Creation Request Forms).
6) Review and approval of salary recommendations, staff re-evaluations, and staff position descriptions.
7) Review and 2nd Level approval of PRDs, SRMs, and TRIP documents, and review and approval of JVs, SAG forms, Security Access Key Requests, Procurement Card Transaction Edits, and Account/Ledger Monthly Reconciliations.
8) Approval of Employee Training Plans toward performance of job responsibilities.
9) Termination of access to SAP/IRIS systems.

**Budget Analyst Lead Processing Timelines:**

1) Requesting unit completes Budget Analyst Lead Request Form and submits to AEBC@uky.edu. See Appendix B. Second level approval for PRDs, SRMs, TRIP electronically submitted by Financial Specialists are reviewed and approved by Budget Analyst Lead within 3 business days.
2) Budget Transfers and Revisions are prepared and approved within 2 business days. The recurring budget for the unit/departments is keyed during the University budget preparation period, which is normally February – May.
3) Budget preparation normally begins in January/February – unit/department Leads are sent a budget request form to complete any known new commitments for the upcoming fiscal year. Budget Analyst Lead will review and confirm funding amount requests for submission to the Provost Budget Office; units will be notified of disposition.
4) Conduct on-going detailed analysis of budgets for all SAL units. Manage financial forecasting, including compilation and analysis of monthly projections and variances. Budgets monitored on a monthly basis and meet with unit leads quarterly regarding budget plans.
5) Key Requests should be sent electronically by unit/department on an as needed basis – upon review, approvals processed on a daily basis (business days).
6) Training Plans are created upon supervisor request.
### Table 1: Business Analyst Lead Processing Timelines

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Processing Time</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRD, SRM, TRIP</td>
<td>3 business days</td>
<td></td>
</tr>
<tr>
<td>Budget Transfers (BT) and Budget Revisions (BR)</td>
<td>2 business days</td>
<td>Recurring budgets are formulated during the University budget preparation period which typically begins in January or February and extends through May.</td>
</tr>
<tr>
<td>Training plans</td>
<td>1 business day</td>
<td>Created upon request from employee’s supervisor</td>
</tr>
<tr>
<td>Key requests</td>
<td>1 business day</td>
<td>Requests should be submitted electronically, as needed.</td>
</tr>
</tbody>
</table>
Financial Specialists Responsibilities:

1) Processing of all financial **Purchasing** transactions including procurement of goods via Supplier Relationship Management (SRM), Amazon Orders, and Procurement Card transaction edits.
2) Processing of all financial **Payment** transactions via Payment Request Document (PRD), Student Payment Voucher (SPV), Agency Disbursement Request (DR), Travel Voucher Reimbursements (TRIP), Journal Vouchers (JV), and Scholarship and Grant Authorization (SAG) forms.
3) Check/Cash Transmittals **will be processed by units and a copy sent to SAL Business Office for archival. See Appendix F for Cash/Check Handling and PCI-DSS Processes.**
4) Maintain all Student/Faculty/Staff Awards on unit SAL Business Office website.
5) Account/Ledger Monthly Reconciliations

Financial Specialists Processing Timelines:

1) Requesting unit completes Purchasing or Payment Request form and submits to AEBC@uky.edu. **See Appendix B.**
2) Financial Specialist adds request to workflow upon receipt from requesting unit. Financial Specialist coordinates specific details of request with unit personnel.
3) Financial Specialist will complete request within 3 business days and forwards payment documents to Budget Analyst Lead for review and signature approval.
4) Document status is reviewed on a weekly basis.

Financial Specialists Responsible Assigned Units:

1) Student and Academic Life (Greg Heileman) – 8Z400 – (1012012270, 1012012280, 1013187330) - Laura Carter
2) Dean of Students (Nick Kehrwald) – 8Z440, 8Z441, 8Z442, 8Z443, 8Z444 – Ryan Bentley
3) Academic Enrichment (Phil Kraemer) – 8Z410, 8Z411, 8Z412, 8Z413, 8Z414, 8Z415 – Ryan Bentley
4) Student and Academic Support (Adrienne McMahan) – 8Z420, 8Z421, 8Z422 – Laura Carter
5) Health and Wellness (Drew Smith) – 8Z430, 8Z431, 8Z432, 8Z433, 8Z434, 8Z435 – Ryan Bentley
6) Student Center (John Herbst, Phil Latiff) – 8Z401 – Laura Carter

NOTE: Kari Ball – Level 1 Approval for all SAL Units PRD, SRM, and TRIP processes, and Approver for procurement card reconciliations. Ryan Bentley and Laura Carter – SAL Units processors for PRD, SRM, and TRIP documents.
Purchasing

1) SRM Shopping Cart
All purchases must comply with the University of Kentucky Business Procedures Manual. B-3-3-5. Please refer to Purchasing/AP Quick Reference Guide for additional information.

For all purchases, please use the following procedures:

a) Complete the SAL Finance Specialist Request Form (see Appendix B) and submit to SAL Business Office via email to AEBC@uky.edu. Use subject title “Finance Request” for approval prior to each purchase. Doing so will ensure all purchases are in compliance with business procedures and requisite funding is available.
   a. The Director, Unit Lead, or supervisor, must sign on the approval line of the SAL Finance Specialist Form Request.
   b. If known, please include an estimated cost of purchase and the cost center to be charged.
   c. The SAL Finance Request must include a statement detailing the business purpose and/or benefit to the unit. Your expense request will be returned if this information is not included. The business purpose should be clear and specific, so that a 3rd party can understand it. For example, “purchase of shirts” is not a sufficient business purpose, whereas explaining how the purchase will benefit the project, program, or explaining how the product(s) will benefit and be used within the unit/department would be a more sufficient explanation.

b) Please allow 3 business days for SAL Business Office processing.

c) Upon receipt of purchased items, requesting unit must submit the following to the SAL Business Office:
   a. Signed and dated packing list(s). If a packing list is unavailable, please notify SAL Business Office via email (i.e., AEBC@uky.edu) that requested items have been received. Be sure to include the purchase order number.
   b. All invoices/receipts must be submitted to the SAL Business Office to ensure proper payment processing.
2) Procurement Card

Student and Academic Life Business Office Financial Specialists receives Procard requests submitted by each cardholder including, but not limited to, editing, posting, and reconciliation of procurement purchases.

The SAL Business Office will ensure compliance with the following University business procedures requirements: BPM B-3 (how to procure supplies, equipment, services), BPM B-3-2-1 (procurement authorization and limits), and BPM E-7-16 (procurement card policy).

Procards are available for use to regular faculty and staff employees only. Those employees who are eligible to have a Procard in their own name are the only employees allowed to use someone else’s Procard. Eligibility for having a Procard is restricted to regular employees only (stated in the Procardholder manual that is signed by each cardholder, BPM policy E-7-16 section II). Students and STEPS employees will not be issued a Procard nor will they have any authority to purchase on behalf of the University. Cardholders are personally accountable for use of the procard while in their possession. Personal charges are strictly prohibited.

For further questions, see the Purchasing/AP Quick Reference Guide.

For all purchases processed by procard, please use the following procedures:

1. A finance request form with supervisor pre-approval signature must be completed for each Procard purchase. All request forms must be submitted to the SAL Business Office for use of the Procard prior to purchase.
2. Please submit forms to AEBC@uky.edu.
3. Your unit Procard will be available for checkout during operating business hours by your appointed unit administrative staff, or alternate checkout times may be arranged by your unit administrative staff. SAL Business Office must have a pre-approval forms for all Procard purchases.
4. Procard information issued will be logged including person submitting the request, requested purchase information and date/time Procard is due back to your unit administrative staff. All documentation and procard must be returned within next business day of purchase. Procards issued for travel purchases must comply with the travel regulations and limitations established BPM E-5-1.
5. The request form must include the following:
   a. The director or department head must sign on the approval line.
   b. The expense request must include the vendor, source of funding to be charged and the estimated cost.
   c. The expense request must include a statement detailing the business purpose and/or benefit to the department. Your expense request will be returned if this information is not included.
6. All Amazon orders will be ordered through SAL Business Office. Please submit a finance request with purchase details of the items requested.

7. All charges must be made in one payment, payments may not be split if over the single transaction limit. Please contact the SAL Business Office if a charge exceeds the daily limit.

8. Office supplies and promotional items are to be purchased through the SRM punch-out, not via Procard. This includes some cleaning supplies, kitchen utensils, plates, etc.

9. Please submit all original receipts to the business office along with the finance request form including pre-approval signature. **Vendors should not charge sales tax.**

10. **Required documentation for each posted charge**

   - Vendor Name
   - Transaction Date
   - Clear, specific Business Purpose/Explanation for each purchase* (see note below)
   - Detailed listing of what was purchased, including item description, quantity, and unit price
   - Itemized sales receipt for each purchase (showing total dollar amount of purchase)
   - Credit card receipt and itemized receipt for food purchases
   - Alcohol purchases on a Discretionary Account and charged to GL 540356
   - Final itemized folio receipt for hotel charges showing a zero balance and payment method
   - Ground Transportation—specific start and end location and business purpose for the ride

   **For charges associated with meeting(s) and events**

   - Agenda for meetings
   - Attendees (first and last name) and specific attendee affiliations whether UK (e.g., role & department) or non-UK for all meetings, meals, events, etc.
   - Announcements for events if available (web announcement, flyer, email, etc.)

   **Note:** This document is to be used as a guideline and organizing tool and should be used in conjunction and compliance with all University of Kentucky policies, procedures, and regulations. Policy questions should be directed to the appropriate UK office.

   *The business purpose should be clear and specific, so that a 3rd party can understand it. For example, “working lunch” is not a sufficient business purpose, whereas “working lunch to discuss specific XYZ topic” would be a more sufficient explanation. “College Business Meeting” is not sufficient; “College Business Meeting to discuss specific XYZ topic; agenda attached” would be a better explanation (along with agenda attached). “Taxi Ride at meeting” is not sufficient; “Taxi from airport to conference hotel while in X for Y meeting” would be more sufficient.*

11. The SAL Business Office will audit each unit’s procedures for Procard handling and usage and may revoke charging privileges if proper procedures are not followed.
PROCUREMENT CARD PROCESS

a) A Procurement Card Form is completed by the unit and sent to the SAL Business Office along with original receipts and applicable documentation.
b) SAL Business Office emails reminders to cardholders and the cardholder supervisor the second and final week of each month, and includes request for original receipts and/or missing receipts and all subsequent documentation.
c) Receipts and documentation are reviewed and procards are edited by the end of each transaction cycle. See Appendix E.
   a. SAL Business Office Financial Specialists compile posted transaction by ProCard number.
      i. Financial Specialist communicates with ProCard holder regarding specific details, if necessary.
      ii. Financial Specialists review and sign ProCard Posted Documents Sheet(s).
      iii. Completed ProCard packet is signed by cardholder and cardholder supervisor.
b) Signed Posted Document Sheet(s) are given to Budget Analyst Lead for final SAL Business Office review and signature.

PAYMENTS/REIMBURSEMENTS

1) PRD

a) Use Purchase Request Documents (PRDs) for purchases not authorized on Procurement Cards, referenced under Business Procedures B-3-2-2 http://www.uky.edu/Purchasing/docs/prditems.pdf.
b) For all food orders:
   a. Once vendor is determined, please obtain a quote and verify that the vendor will accept a PRD from UK. For all on-campus events, you must choose from a UK approved caterer: See (https://www.uky.edu/Purchasing/docs/catererslist.pdf).
   b. Complete the SAL Business Office Financial Specialist Request form and submit to AEBC@uky.edu preferably no later than 7 business days prior to your meeting/event.
   c. Once your Finance Specialist Request form has been approved, you will receive your PRD from SAL Business Office Financial Specialist via email. Please print these documents and present to the vendor at the time of pick-up/delivery/dine-in.
d. All original receipts must be returned to SAL Business Office promptly to finalize payment to vendor; receipt must reflect tax exemption. Expenses associated with meetings, meals, and events, please include clear and specific business purpose, agenda, any announcements, flyers, emails, etc., and attendees, whether non-UK or UK affiliated (role and department).


2) Student Request for Funding
Students may request funding to cover conference costs. Please submit one event request form that includes one description for each event for which you are requesting funds to the Associate Provost for Student and Academic Life; See Appendix D. Describe the funding request in detail, and include specific description of the items you request funding for and who will participate in the event (i.e., students, general public, etc.). Include mission, purpose of event, and how it benefits student(s).

3) TRIP Travel Request
   a) TRIP travel expenses are reimbursed through TRIP Travel Expense Report.
   b) The SAL Business Office Financial Specialists will serve as the Proxy for all TRIP documents.
   c) Once travel information is received by SAL Business Office Financial Specialist, information will be keyed into TRIP within 3 business days upon receiving all travel receipts. Once information has been entered in TRIP, the approval process will start with the traveler/employee. The employee will review and approve travel, and the document will route to the employee’s supervisor. Once approved by the supervisor the document will then route to the SAL Business Office and will be forwarded to Accounts Payable. The traveler will receive an email notification when the check request is submitted to the their bank. A direct deposit should be received within 3-5 business days. The deposit will be applied to the same account as the traveler’s payroll. Please notify the SAL Business Office Financial Specialist if reimbursement funds are not received.
   d) All TRIP backup documentation will be filed in SAL Business Office for reconciliation and file.
HR/PAYROLL KEY RESPONSIBILITIES AND PROCESSING TIMELINES

HR/Payroll Specialists Responsibilities:

1) Payroll Management for all payroll actions for staff and students. This includes, but is not limited to, providing direction, guidance, and problem resolution relating to HR/payroll issues, providing advice and leadership on appropriate payment types. Serve as liaison with unit leads to ensure payroll payment requests are processed in a timely manner.

2) HR/Employment on-boarding and off-boarding for all staff and students. Initiate pre-employment national background checks for new hires, and process IES actions for re-evaluations, new and revised position descriptions.
   a. Units should notify HR/Payroll Specialist of any employee (staff or student) leaving their current position so that assignment can be ended or separated.
   b. Employment Personnel Action – Once position funding has been confirmed by SAL Business Office budget lead for position hire or re-classification, HR/Payroll Specialist will initiate IES hiring processing for posting or reclassification action. Units should provide information such as recommended start dates and proposed annual salary or pay rates.
   c. Onboarding – HR/Payroll Specialists complete Pre-employment screening (if required); IES processing; provides instruction on I-9 completion; collect tax and direct deposit forms.
   d. Payroll Action – Key employee position assignment in SAP and process PAR and submit with required documents to Compensation for approval.
   e. Follow-on Actions – Assist with registering new employee for orientation; send instructions for Link Blue activation, parking, and UK ID badge.

HR/Payroll Specialists Processing Timelines:

1) IES staff, student, or temporary hire processing
   a. Unit requests staff, student, or temporary hire; HR/Payroll Specialist checks for existing or new position, and consults with SAL Business Office Budget Lead for available funding and posting position approvals. HR/Payroll Specialist works with units to finalize approved IES actions to be forwarded to Compensation for final approvals and then to Employment for position posting. Once position posting closes, Employment will contact HR/Payroll Specialist to notify that the position has closed and the applicants are released for review.
   b. Unit reviews/interview candidates and contacts HR/Payroll Specialist with name of recommended applicant for position.
   c. HR/Payroll Specialist initiates Hiring Proposal in IES, completes Experience & Education Calculator, completes recommended salary for Salary Recommendation Form, including any comparables, with approval signatures, and obtain any required
letters from unit for promotion, demotion, hiring above midpoint, etc. (requires Provost approval).

d. HR Employment reviews Hiring Proposal in IES for approval and sends notice to HR/Payroll Specialist that an official offer can be made to candidate. If candidate accepts offer, HR/Payroll Specialist initiates PES (background check). If candidate counter offers, steps above are repeated. If candidate declines, unit will determine another qualified candidate for the position. If there are no other qualifying candidates, HR/Payroll Specialist will notify Employment of failed search, and unit will determine whether or not to repost position.

e. Once PES is complete, HR/Payroll Specialist will confirm start date with unit.

2) SAP staff, student, or temporary payroll processing

   a. HR/Payroll Specialist will sign new staff employee up for New Employee Orientation (require employee’s date of birth and last 4 digits of social security number), along with employee supervisor’s information.

   b. New employee brings I-9 to HR/Payroll Specialist (start date should not precede date on I-9 form). HR/Payroll Specialist keys employee payroll information into SAP, and ZPAR will include RE hire number, if applicable.

   c. Link blue account is created the day after the employee assignment is keyed into SAP, and HR/Payroll Specialist will notify employee of their account. Employee will verify completion of account setup and will send e-mail address to HR/Payroll Specialist to be added to applicable listserv.

   d. HR/Payroll Specialist sends e-mail to Employee (copy supervisor) with information regarding time entry, pay, direct deposit, etc.

   e. HR/Payroll Specialist will inquire of any training plans required for new employee and will submit Training Plan Request to Budget Lead Analyst for processing.

   f. HR/Payroll Specialist will complete applicant dispositions in IES once unit provides information on turndown reasons for applicants interviewed/not interviewed. Applicant/Candidate information should be retained for 3 years.

3) SAL Business Office HR/Payroll Specialist will process HR/Payroll actions in SAP within 3 business days of receipt of all required information.

4) SAL Business Office HR/Payroll Specialists will run Payroll Distribution Reports monthly to submit to the Financial Specialists. Financial Specialists will use this information to generate Status of Funds reports for the units.

5) SAL Business Office HR/Payroll Specialists will monitor time entry reports and remuneration statements on a monthly and biweekly basis for all Student and Academic Life employees to assure that employees receive accurate pay.
HR/Payroll Specialists Responsible Assigned Units:

1) Student and Academic Life (Greg Heileman) – Marc Heft
2) Dean of Students, Student Involvement, F.S.L., COC, Student Conduct (Nick Kehrwald) – Keri Puckett
3) Academic Enrichment, Chellgren Center, Gaines Center (Phil Kraemer) – Marc Heft
4) Student and Academic Support, Career and Academic Support, Transition & First Year Programs (Adrienne McMahan) – Marc Heft
5) Health and Wellness, Campus Recreation and Wellness, Counseling Center, BISS, VIP Center, Financial Wellness (Drew Smith) – Teresa Pinkston
6) Student Center (John Herbst, Phil Latiff) – Marc Heft

Relocation Expenses for Newly Hired or Transferred Faculty and Staff

The Business Procedures Manual policy for relocation expenses has been updated which has eliminated the exclusion for qualified moving expense reimbursements, and will only provide for payment of a cash allowance through payroll processing, and subject to tax withholdings. BPM Reference, [http://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-7-8.pdf](http://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-7-8.pdf).

Employee Exit Checklist

SAL Business Office HR/Payroll Specialists will provide employee(s) separating from the University of Kentucky an Employee Exit Checklist to assist employees in the exit process. Employees leaving the University have an obligation to return all University property issued to them and to settle all outstanding accounts. Employee Exit Checklist should be completed by employee and unit supervisor. **See Appendix G.**

Family Medical Leave

Campus (non-UK HealthCare) employees should submit the FMLA form to the Campus FMLA Administrator at lindseyhpowell@uky.edu or fax to 859-257-1679. Referenced under HR Policy 88.0, [http://www.uky.edu/hr/forms/request-for-family-and-medical-leave](http://www.uky.edu/hr/forms/request-for-family-and-medical-leave) and [http://www.uky.edu/hr/employee-relations/family-medical-leave](http://www.uky.edu/hr/employee-relations/family-medical-leave)
Gloria Robinson  
Budget Analyst Lead  

Kari Ball  
Financial Specialist  

Ryan Bentley  
Financial Specialist  

Laura Carter  
Financial Specialist  

Marc Heft  
HR/Payroll Specialist  

Teresa Pinkston  
HR/Payroll Specialist  

Keri Puckett  
HR/Payroll Specialist
APPENDIX B - Request Forms

Student and Academic Life - Budget Analyst Lead Request

Please attach any documents required for processing.
(Budget Transfers/Revisions; Cost/Fund Center Creation/Change; Key Requests; Staff Training Plans)

Department: ________________________________________________
Name: _____________________________________________________
Email: __________________________ Phone Number: ____________

Request Description:

Business Purpose for Requested Purchase:

I have received permission from the Unit Lead/Supervisor of the department to make this request (please initial): ________________
Student and Academic Life - Finance Specialist Request

Please attach any documents required for processing. Cost center and type of request (JV/Office Supplies/PRD/ProCard/PO) are not required.

Department: _____________________________________________________________

Name: _________________________________________________________________

Email: ________________________ Phone Number: _________________________

Cost Center: ________________________ Type of Request: __________________

Purchase Request Description:


Business Purpose for Requested Purchase:


I have received permission from the Unit Lead/Supervisor of the department to request this purchase (please initial): ____________________
Student and Academic Life - HR/Payroll Specialist Request

Please attach any documents required for processing.  
All original documentation must be sent to the Academic Excellence Business Center.

Department: _________________________________
Name: ______________________________________
Email: ___________________ Phone Number: ______________

Request Description:


Business Purpose for Request:


I have received permission from the Unit Lead/Supervisor of the department to make HR/Payroll request (please initial): ________________
APPENDIX C – Document Process Flowcharts

SAL BUSINESS OFFICE FINANCIAL PROCESS FLOWCHART

Department/Unit
1) Documents requiring direct Budget Analyst Lead approvals, initiating unit obtains electronic SAL Budget Analyst Lead request form and attach all supporting documents with any required supervisor pre-approvals and email to AEBC@uky.edu for review, approval, and processing; key in Budget Analyst Lead in subject line.

SAL BUSINESS OFFICE
1) Documents processed directly by Financial Analysts, reviews request document for payment or purchase.
2) Financial Analyst keys request information into SAP system for processing to Accounts Payable or Purchasing approval.

Department/Unit
1) For SRM purchases, department/unit receives goods, signs, and dates packing slip documents (if applicable) indicating order has been received and forwards to SAL Business Office for processing goods receipt in SAP system.
2) SAL Business Office maintains all financial documents for monthly reconciliation and completes reconciliation certification form for file.
Department/Unit
1) Initiating unit completes AEBC HR/Payroll Request Form, including supporting documents and sends supervisor approved Payroll Request Form to SAL Business Office HR/Payroll Specialist for processing.

SAL Business Office
1) HR/Payroll Specialist reviews Payroll Request Form, supporting documents, and confirmation of budget capacity for employee hire action.
2) HR/Payroll Specialist processes Payroll Request Form via SAP system.
3) HR/Payroll Specialist prints, signs, and sends PAR to Compensation for approval; PAR is forwarded to UK Payroll for final processing.

SAL Business Office
1) HR/Payroll Specialist follows up and reviews payroll reports prior to biweekly and monthly payroll final run to ensure payout to employees is correct.
# APPENDIX D - Student Request for Funding

## Student Request for Funding

**University of Kentucky Student and Academic Life**  
**Fiscal Year 2017-2018**

<table>
<thead>
<tr>
<th><strong>Student Full Name:</strong></th>
<th><strong>Student ID:</strong></th>
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<table>
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<th><strong>Mailing Address:</strong></th>
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<thead>
<tr>
<th><strong>City:</strong></th>
<th><strong>State:</strong></th>
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| **College Attending:**  
(Example: College of Education) | **Year:**  
(Example: Sophomore) |
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| **Amount Requested:** | **Semester:**  
(Example: Spring 2018) |
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<tr>
<th><strong>Other Sources of Funding:</strong></th>
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| **Purpose of Requested Funds:**  
(Please state the purpose of the requested funds, as well as how the purpose pertains to your education here at the University of Kentucky) |
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(Please attach any additional documents if necessary)

| **Attachments:** | **Yes / No**  
(circle one) |
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I understand that I may not receive the full amount of the requested funds from Student and Academic Life. I further understand that if funds are awarded, I may not receive additional funds from Student and Academic Life throughout the rest of my tenure at the University of Kentucky.

**Student Signature**  
**Date**

**Associate Provost for Student and Academic Life Signature**  
**Date**

**Budget Lead Analyst Signature**  
**Date**

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**Student and Academic Life Business Office Use Only**

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APPENDIX E – Procard Edit Checklist

Checklist for Procard Edits submitted to Student and Academic Life Business Office

(attach form to the top of submitted reports)

☐ The printed report is POSTED transactions only (do not send a Parked report) (multiple transactions per page is fine)
☐ The report is signed and dated by the individual(s) who edited and posted the transactions.
☐ Receipts are attached in the same order as the corresponding charges are listed on the transaction report.

Required documentation for each posted charge

☐ Vendor Name
☐ Transaction Date
☐ Clear, specific Business Purpose/Explanation for each purchase* (see note below)
☐ Detailed listing of what was purchased, including item description, quantity, and unit price
☐ Itemized sales receipt for each purchase (showing total dollar amount of purchase)
☐ Credit card receipt and itemized receipt for food purchases
☐ Alcohol purchases on a Discretionary Account and charged to GL 540356
☐ Final itemized folio receipt for hotel charges showing a zero balance and payment method
☐ Taxi rides—specific start and end location and business purpose for the ride

For Charges associated with Meeting (s) and Events
☐ Agenda for meetings
☐ Attendees (first and last name) and specific attendee affiliations whether UK (e.g, role & department) or non-UK for all meetings, meals, events, etc.
☐ Announcements for events if available (web announcement, flyer, email, etc.)

Note: This document is to be used as a guideline and organizing tool and should be used in conjunction and compliance with all University of Kentucky policies, procedures, and regulations. Policy questions should be directed to the appropriate UK office.

*The business purpose should be clear and specific, so that a 3rd party can understand it. For example, “working lunch” is not a sufficient business purpose, whereas “working lunch to discuss specific XYZ topic” would be a more sufficient explanation. “College Business Meeting” is not sufficient; “College Business Meeting to discuss specific XYZ topic; agenda attached” would be a better explanation (along with agenda attached). “Taxi Ride at meeting” is not sufficient; “Taxi from airport to conference hotel while in X for Y meeting” would be more sufficient.
APPENDIX F – Cash Handling and PCI-DSS Operations

Student and Academic Life adheres to the UK Business Procedures on Cash Handling and PCI-DSS processes, which are found in E-2-1 of the BPM [http://www.uky.edu/EVPFA/Controller/files/BPM/E-2-1.pdf]. All staff handling cash are expected to understand these policies and stay current on changes and revisions. Staff are expected to attend the “UK Cash Handling Operations” class upon hire/transfer into Student and Academic Life, and periodically as a refresher course. Cash handling refers to all cash, coins, Automated Clearing House (ACH), wire transfers and checks received. In addition, staff are expected to read and understand the UK Ethical Principles and Code of Conduct, [http://www.uky.edu/Legal/ethicscode.htm].

Cash Acceptance Policy:

- Always provide customer with a receipt from a pre-numbered book containing:
  1. Date of payment
  2. Amount of payment
  3. Form of payment
  4. Account payment applied to
  5. Printed name of employee receiving funds
- If a check or money order is received, immediately stamp the back of the check/money order with the departmental deposit information.

Deposit Policy:

- Cash and checks must be stored in safe located if they will not be deposited the same day.
- Deposit according to the following policies:
  1. Daily, if cash receipts accumulate to $500, although more than one deposit is not required, plus
  2. Each time during the week deposits accumulate to $500 if receipts are <$500 per day, plus
  3. On the last working day of the week if cash is on hand, plus
  4. By 11 a.m. (Treasury Services) on the last working day of the month if cash is on hand
- Deposits will be hand delivered to Treasury Services

Safe Procedures:

All safes will be locked at all times. The doors of room where safe is located will be locked at all times when room is vacant. The safe can be opened by using a combination and/or lock and key.
For internal controls, only one person will possess the combination or keys to the safe, and may not be located in the room with the safe. The person occupying the room with the safe must monitor all access to the safe. Therefore, 2 people must be present to access the safe. A safe log is to be used each time the safe is opened and closed with both employees signing it.

The safe log, cash/check transmittals and cost center ledgers will be reconciled each month.

Safeguarding Procedures:

The Student and Academic Life Business Office will ensure there is a separation of duties between: accounting (receipts), depositing, reconciling, safeguarding and monitoring.

- Determine employee(s) who will open the safe and verify the funds deposited during the work week
- Determine employee(s) who will receive and open mail, endorsing any checks enclosed
- Determine employee(s) who will take payments, endorse checks and provide receipts to payments received in person
- Determine employee(s) who will prepare the deposit and transmittal
- Determine two employees who will sign and verify the transmittal
- Determine the employee who will record the deposit into the appropriate back-up file
- Determine the employee(s) who will deliver the deposit and transmittal to the appropriate office (Treasury Services or the Office of Development); return the stamped copy
- Determine the employee who will maintain files for the stamped deposit transmittals with appropriate back-up. All Units will provide the Student and Academic Life Business Office a copy of Cash/Check Transmittal Forms and all required back-up documentation for file
- The SAL Business Office Financial Specialists will verify the deposit through SAP
- The SAL Business Office Financial Specialists will reconcile the monthly ledger

Monitoring and Oversight Procedures:

SAL Business Office will ensure that proper oversight and monitoring of cash handling will occur by adhering to the following:

- The SAL Unit Director and SAL Business Office Financial Specialists will verify the monthly cost ledger
- The SAL Units will monitor/test receipts: receipts in order; voids accounted for
- The SAL Business Office Budget Analyst Lead will ensure that all employees are certified and re-certified
- The SAL Units will make certain that the opening of mail transpires in an open area
- The SAL Units will review and approve overages and shortages
- The SAL Units will review anticipated cash receipts (budget to actual)
- The SAL Business Office Financial Specialists will review back-up files
- The SAL Business Office Budget Analyst Lead will periodically test the cash handling process to ensure effectiveness, efficiency, and business continuity
- The SAL Units and SAL Business Office will listen to and solicit feedback
• The SAL Units will monitor outstanding balances
• The SAL Unit Director will conduct employee monitoring: background check; training; behavior
  o Paying attention to the work environment and employee as well as staying involved
• The SAL Unit Director and SAL Business Office Budget Analyst Lead will review and update written procedures regularly
All cash handling processes must be in accordance with Business Procedure E-2-1 Treasury Operations Manual and every employee who handles cash must read the business procedure in its entirety and sign this form. For quick reference, some basic guidelines are listed below.

DO:
1. Endorse checks immediately with unit name and mark for “Deposit Only”.
2. Remember that cash includes not only U.S. coins and currency but also cash equivalents such as checks, money orders, travelers’ checks, credit card receipts, ACH and wire electronic transactions, foreign funds, and stamps.
3. Allow only authorized employees, Campus Police and the University-approved armored car service to deliver cash.
4. Obtain security guards at times when handling extra large sums of cash (e.g. registration payments, book sales, and other payments).
5. Provide adequate security (such as security guards, armored carriers, or two or more employees) when transferring cash to other departments or banks.
6. Close vault and safe doors when unattended.

DON’T:
1. Permit unauthorized persons in areas where cash is handled.
2. Leave cash drawers and cash registers containing cash, unattended.
3. Leave cash unattended on desk tops or counters.
4. Send cash through Campus mail or U.S. mail.
5. Count cash in view of the public.

DEPOSITS

DO:
1. Deposit cash daily when receipt totals exceed $500.00. More than one deposit per day is not required.
2. Deposit all cash on the last day of the week regardless of the amount.
3. Deposit all cash on the last day of the month regardless of the amount.

DON’T:
1. Permit cash to be left in a department overnight, weekend, or month-end without being secured.
2. Send checks, cash or coin in the Campus mail or U.S. mail.
CASH HANDLING FORM

All cash handling processes must be in accordance with Business Procedure E-2-1 Treasury Operations Manual. Non-compliance with these guidelines by an employee may result in corrective action be taken in accordance with Human Resources Policy & Procedures (HRP&P) #62:0 Corrective Action and/or HRP&P #12:0 Separation from Employment.

Employee Name ____________________________________________

(please print)

Employee ID#______________________________________________

Department______________________________________________

I have read and understand the above and Business Procedure E-2-1 Treasury Operations Manual.

__________________________________________________________  ________________
Employee Signature                                      Date

Place original in the departmental personnel file and give copy to employee.
PCI-DSS Credit Card Operations

1) SAL Units will adhere to policies and procedures regarding accepting credit card payments, BPM E-2-1, Section VIII, [https://www.uky.edu/ufs/merchant-card-services- pci-dss](https://www.uky.edu/ufs/merchant-card-services-pci-dss), which includes addressing the security of any credit card data handled and an incident response plan to be followed in the event of a suspected breach of that data.

2) SAL Units will obtain and maintain documentation of PCI DSS compliance status of any third-party service providers directly or indirectly involved in the processing of credit card transactions (e.g. website hosting services, internet payment gateways, shopping cart providers, etc.)

3) SAL staff will attend annual training session provided by the MCS staff of Treasury Services.

4) SAL Units will maintain PCI DSS compliance and complete a Self-Assessment Questionnaire (SAQ) validating compliance on an annual basis and submit to MCS of Treasury Services.

5) SAL Units will notify MCS of any change in credit card processing methods.

6) **Under no circumstance shall credit card information be obtained or transmitted via email.** Credit card transactions shall not be processed or data stored on individual PCs or servers that have not been deemed PCI compliant by MCS of Treasury Services. All hard-copy credit card information must be stored in a manner that would protect the individual cardholder information from misuse, or properly destroyed if no longer needed. Remember, **IF YOU DON'T NEED IT, DON'T KEEP IT.**
APPENDIX G – Employee Exit Checklist

Employee Exit Checklist

Employee Name: ___________________________ ID #: ___________ Department: ___________________________

Supervisor: ___________________________ Reason for Leaving: ___________________________

Purpose: The following checklist is provided to assist employees in the exit process. Employees leaving the University should be aware of their rights and benefits including COBRA. In addition, departing employees have an obligation to return all University property issued to them and to settle all outstanding accounts.

☑ = Task Completed

Section I: Employee Responsibilities

☐ Submit written notice of termination to department, including update of new address for W-2 purposes.

☐ Not applicable (NA)

☐ Delete employee-specific telephone voice mail (message) before last day of work.

☐ Not applicable (NA)

☐ Pay outstanding debts to appropriate University units including tuition expenses, health center fees, parking tickets, etc.

☐ Not applicable (NA)

☐ Return all University equipment and supplies to your department representative or other appropriate representative.

☐ Not applicable (NA)

☐ Contact Employee Benefits (257-9519) or visit the HR website at www.uky.edu/hr for insurance termination date, retirement information, etc.

☐ Not applicable (NA)

☐ Remove all personal items from office and any other work space in a timely manner.

☐ Not applicable (NA)

☐ Return parking tag.

☐ Not applicable (NA)

Section II: Department Responsibilities

☐ Cancel/revise any signature authority the employee may have had.

☐ Not applicable (NA)

☐ Ensure forwarding address is correct for payroll (Tax forms, W-2s)

☐ Not applicable (NA)

☐ Collect any procurement card(s) in the name of the employee and request cancellation of the cards.

☐ Not applicable (NA)

☐ Verify vacation and sick leave balances (if appropriate).

☐ Not applicable (NA)

☐ Department phone list and website, email distribution lists (remove listings).

☐ Not applicable (NA)

☐ Prepare and submit Employee Separation Sheet (www.uky.edu “Forms” page), Indicating employee’s forwarding address for W-2 purposes.

☐ Not applicable (NA)

☐ Submit final timesheet.

☐ Not applicable (NA)

☐ Parking Permit returned.

☐ Not applicable (NA)

☐ Verify return of all University equipment and supplies for terminating employee (cell phone, laptop, keys to office, etc.).

☐ Not applicable (NA)

☐ Ensure termination of employee’s access to computer systems, including specific departmental systems, email accounts, accounting, budget, and payroll/personnel systems, etc.

☐ Not applicable (NA)

☐ Verify all the employee’s personal items have been removed from the office and any other work space.

☐ Not applicable (NA)

Employee Comments: ____________________________________________

Employee Signature ___________________________ Date: ___________
APPENDIX H - HR/Payroll Additional Resources

Time Entry and Approval upon Units request – if at any time a unit or employee needs assistance, they should contact their SAL Business Office HR Specialist.

Record Working Time – Hourly workers should enter all working time.

Instructions: [http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/record-working-time-online](http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/record-working-time-online)

Submit Leave Requests Online - Full time employees (hourly and monthly) should enter holidays, vacation, TDL, and other leave.

Instructions: [http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/submit-leave-requests-online](http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/submit-leave-requests-online)

Approve working time and leave requests (supervisors):

Instructions: [https://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-mss-guide/approve-working-time-leave-requests](https://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-mss-guide/approve-working-time-leave-requests)

Changes to Bank Information / Direct Deposit:

Instructions: [http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/update-your-info-bank-information](http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/update-your-info-bank-information)

Note: Students should also change their deposit information in their Student Services tab: [http://www.uky.edu/studentaccount/refund.htm](http://www.uky.edu/studentaccount/refund.htm)

Changes to tax withholdings:

Instructions: [http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/update-your-info-tax-withholding-w4-k4](http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/update-your-info-tax-withholding-w4-k4)

Changes to home address:

Instructions: [http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/update-your-info-addresses](http://www.uky.edu/hr/hr-home/myuk-online-guide/myuk-ess-guide/update-your-info-addresses)

Note: Students should also change their address in the myUK, Student Services, my Info tab.

Changes to name:

The official name in the UK system must match the employee's social security card. In order to change the name, the employee should bring their new social security card to their HR Specialist and complete the Name Change Form.
Note: Students must also contact the Registrar in order to change their name
https://www.uky.edu/registrar/registrar-student-account
APPENDIX I - Glossary of Acronyms

SAL – Student Academic Life

BR – Budget Revision

BT – Budget Transfer

DR – Agency Disbursement Request

ESS – Employee Self Service

IRIS – Integrated Resource Information Systems – Student Lifecycle Management (SLCM); Financials (FI); Grants Management (GM); Human Resources (HR); Materials Management (MM); Plant Maintenance (PM)

JV – Journal Voucher

PCI-DSS - Payment Card Industry Data Security Standards - are data and record storage, transmission and system testing requirements designed to help ensure the safe handling of credit card information

PRD – Purchase Request Document

SAG – Scholarship and Grant Authorization

SAP – Systems, Applications, and Products – software used to manage business and service processes of University of Kentucky

SPV – Student Payment Voucher

TRIP – Travel Document Solution