



Business Office Policies & Procedures

**College of Nursing
University of Kentucky
FY 2025**



**College of
Nursing**

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Purchasing Procedures

All purchases made on the behalf of the University of Kentucky must be made in accordance with the University of Kentucky Business Procedures Manual <http://www.uky.edu/ufs/business-procedures-manual> . The Business office will interpret these policies & procedures and ensure compliance with University requirements.

The following procedures are to be used for all purchases made within the College of Nursing.

- A) Prior to order placement, a purchase request form must be completed and submitted to the CON business office for approval.** This policy is in place to ensure that the College is compliant with University purchasing guidelines and to ensure funding is available. The interactive PDF purchase request can be found on the CON website under faculty/staff resources: http://www.uky.edu/nursing/sites/www.uky.edu.nursing/files/CON%20Order%20Form%202016-17_2.pdf
- a. To ensure the timeliest processing of your order request be sure all the information requested on the purchase request is complete. You will be contacted by the business office if there are any concerns regarding your request.
 - b. Complete/sign the purchase request form electronically and submit via email to conorders@uky.edu. Signature authority can be delegated if the program or project leader chooses. The business office must have documentation of the delegated signature authority on file. If you wish to delegate signature authority, please contact the Assistant Dean for Finance or the Chief Budget Officer.
 - c. The requester must sign in the appropriate field. The responsible party or delegate of the funding source will need to sign as the Budget Authority Approval. If grant funds are being used the PI or delegate must sign the PI approval line.
 - d. The purchase request must include the source of funding that will be used for the expense.
 - e. The purchase request must include a statement regarding the business purpose and/or benefit to the grant funded project. Your order request will be returned if this information is not included on the purchase request.
- B) The CON business office will review the request, the source of funding and will determine who in the CON business office will be reviewing your request.** The CON grants financial analyst will review all requests for grant accounts (304xxxxxxx or 32xxxxxxx), the Chief Budget Officer will review all other requests.
- C) Once your request has been approved by the business office it will forwarded to the CON purchasing expert for processing, please allow 2-3 business days for your order request to be completed from the time of submission.** The CON Business Office will follow the University's purchasing policies and procedures for all purchases. This may result in the need for additional documentation for your order to be successfully processed. University purchasing policies and procedures can be found by following this link: <https://purchasing.uky.edu/> Please note you will need to login using your UK credentials to access this information. Once your order has been processed, we will make every effort to send an email confirmation.

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- D) Pre-approval Requests: If your purchase requires you to personally complete the purchase you will need to follow all purchase request guidelines.** Be sure to note in the special considerations section that you will need to use the CON Procard for this purchase. You will receive an email notification of your approved request along with the approval confirmation number. Once you receive the approval confirmation you may proceed with the procard check out process from the CON business office. Please have your order approval number on hand. The Procard and receipt for the purchase will need to be returned to the business office the same business day.
- E) The internal purchase order number or University requisition number will be used as a tracking number for all purchases.** It should be noted on all correspondence relating to the purchase. **All packing slips must be signed/dated and turned into the CON business office.** In the event that a vendor did not include a packing slip please send an email or note to the business office stating that the items have been received and be sure to reference the purchase order #. All invoices must be submitted to the business office to ensure proper payment processing. In efforts to ensure the CON is compliant with the policies for document retention we must have all documents. If you need copies of any documentation, please contact the business office and the information will be provided to you.
- F) Shipping packages from CON:**
If you are sending a package via UPS/Fedex submit your purchase request form per normal procedures and be sure to note the expected shipping date. List the preferred shipping company in the Vendor section. If shipping same day please bring the prepared package to the CON business office Room# 315W no later than 2:00pm. Alternatively you can provide the requested information below and we can email you the airbill for placement on the package and the requestor can coordinate getting the package to a local shipping office or dropbox.

Please be sure to include the following information on your request form:

- a. Ship To address and contact information
- b. Your contact information
- c. The dimensions of the package
- d. The weight of the package
- e. If applicable the amount you want to insure the package for
- f. The airbill will be completed as directed and the package will be shipped per the instructions. You will be contacted asap in the event there is problem with the information provided.

If you will be using the USPS service, please take your completely prepared package to the mail room. If you will be using a postal code that is related to a specific account, you will need to complete a mail card and use the appropriate account number and corresponding postal code.

Postage stamps can also be purchased from the University post office, this process can take 2-3 business days to complete.

G) Printing

- a. Business Cards

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- i. **To order business cards, the business card order form needs to be completed and submitted to conrdrs@uky.edu for processing.** This form can be found on the CON website under faculty/staff resources
<https://www.uky.edu/nursing/sites/www.uky.edu.nursing/files/Business%20Cards%20Order%20Form.pdf>

The CON uses Southland Printing Company for our business card needs.

To update your business cards please provide your current card with any updates/changes that need to be made. You will receive a proof of your business card which will need to be approved by you prior to printing

H) Food Orders

- a. On-campus events that will be catered you must chose a UK approved caterer, <http://www.uky.edu/Purchasing/catererslist.htm> Please note you will need to login using your UK credentials to access this information.
- b. Complete the CON Purchase Request form (see above) and submit to the business office preferably no later than 7 business days prior to your meeting/event. Most food orders can be paid by using a University Procard
- c. To ensure timely payment of the expense the following documentation must be submitted to the CON Business Office:
 - 1) Original itemized receipt or itemized invoice
 - 2) List of Attendees with UK affiliation listed for each
 - 3) Meeting Agenda

I) Faculty/Staff or Student Awards

- a. All awards must have a current approval code prior to being purchased or given
 - i. Approved Faculty/Staff awards can be found here
<https://www.uky.edu/ofa/awards-honors>
 - ii. Approved Student awards can be found here
<https://www.uky.edu/advisors/administrative>
- b. Administrative steps for processing new award requests
 - i. Approval must be obtained from the appropriate CON leadership
 - ii. The following information needs to be provided to the CON business office for submission to university officials for review/approval. Please allow 10-14 business days for processing:
 - 1) Award Name
 - 2) Description
 - 3) Purpose
 - 4) Selection Criteria
 - 5) Award Type
 - 6) Award Value
 - 7) Funds Source
 - iii. You will be notified by the CON business office once approval has been received. Awards cannot be given or purchased until university approval is received and an award code is assigned.

J) Discretionary Expenditures

The University has strict guidelines that the CON must follow regarding discretionary purchases. The CON business office will distinguish these types of expenditures for the College of Nursing based on the information provided in the order submission. All CON discretionary expenses must contain the CON Dean approval. If a purchase is deemed discretionary at the time of review the business office will route the request to obtain Dean's approval if the approval is not already in place. Please note this may create a processing delay.

The University discretionary policy can be found here:

<https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-7-10.pdf>

K) Independent Contractor Hires

First step is to determine if a vendor should be classified as an independent contractor. There are several factors used to determine the appropriate classification. In efforts to assist with the appropriate classification UK's Human Resource department requires the worker status evaluation form to be completed. The link to this form is below.

<https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/eforms/workerstatusevaluationform.pdf>

Please note: If the answer to any of the questions on this form is yes, your vendor will need to be paid as an employee.

Additional documentation that will be required for hiring an independent contractor is a completed scope of work form. The link to this form is below.

<https://www.uky.edu/hr/sites/www.uky.edu.hr/files/eForms/IndependentContractorScopeWork.pdf>

These forms must be accompanied by a CON purchase request form. Please be sure to establish the purchase order form and the scope of work form for the entire scope of work to be performed within the current fiscal year. New documents will be required each fiscal year.

The University's policy regarding hiring independent contractors can be found here:

<https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-7-3.pdf>

For all your purchasing needs please contact the CON Business Office with any questions you may have.

Cash Handling and Check Deposit Procedures

Cash/Check Handling Procedures

1. Check(s)/Cash will need to be submitted in a sealed envelope along with all supporting documentation and any special instructions. Please be sure supporting documentation provides sufficient information such as who the funds are from, the purpose and the account the funds should be credited too. All funds must always be kept secure and the deposits should be submitted to the business office asap for processing.
2. On the outside of the envelope list your name, the date submitted to the business office and the date the funds were received by you. There is a depository safe located in room 315Z. All deposits will need to be placed in the safe. You will also need to log the deposit on the log which is located on top of the safe. Deposits will remain in the safe until the deposit is prepared. Deposits will be prepared by the business office on an as needed basis.

Please keep in mind that the Universities Cash Operation Policies must be followed.

Please visit: <https://ufs.uky.edu/bpm/e-2-1-treasury-operations-manual> for detailed information or consult with the College of Nursing business office.

Cash Deposit procedures

1. A designated business office employee will enter the safe located in room 315Z in the College of Nursing and pull all cash/check from the safe. He/she then compares the cash/checks to what is written on the log for accuracy.
2. Once verified the employee returns to their workstation and prepares the cash/check transmittal in SAP, using the account number provided on envelope. If no GL is in the envelope, the employee will determine best GL to use for the deposit.
3. The employee will remove the cash and verify it with the depositor's envelope total.
 - a. If total is verified, skip to step 4.
 - b. If total is not verified, the employee then contact the depositor to determine the cause of the discrepancy.
4. The employee will prepare a cash transmittal in SAP.
5. The employee then goes to the College of Nursing Scanner and scans a copy of the envelope(s) and any associated back up.
6. The employee then prepares a deposit ticket for PNC bank.
7. The employee then combines the PDF File with the Check Transmittal, scans) and the deposit ticket. He/she then add signature boxes for them and the person whom is verifying the deposit to sign electronically.
8. The cash is given to another person, in most cases another College of Nursing Business Office personnel to verify.
9. Upon verification they sign the cash transmittal. The original processor signs the transmittal as well during this time.
10. The PDF signatures are then printed (locked) and a copy of the entire PDF are placed into the file folder for reconciliation purposes.
11. The cash and copy of deposit ticket is then placed in a clear deposit bag and info is written on front, as required by Treasury Services. The bag is then sealed.

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12. The deposit is walked over to Treasury Services the same day the deposit is processed.

Check Deposit Procedures

1. A designated business office employee enters the safe located in room 315Z in the College of Nursing and pulls all cash/check from safe. He/she then compares the cash/checks to what is written on the log for accuracy.
 2. Once verified the employee returns to their workstation and prepared the cash/check transmittal in SAP, using the account number provided on envelope. If no GL is in envelope employee will determine best GL to use for the deposit.
 3. The employee will then use the Business Office iPad to do the deposit in PNC Banking app. Please note: this iPad is only used for this purpose and only Business Office employees have access to this iPad. It remains locked in safe in room 315 Z.
 4. Once all checks have scanned into the PNC banking App. The employee will log into the PNC bank website and pull the deposit ticket.
 5. The employee then goes to the College of Nursing Scanner and scans a copy of the check(s).
 6. The employee then combines the PDF File with the Check Transmittal, scan of Check(s) and the deposit ticket. He/she then add signature boxes for them and the person whom is verifying the deposit to sign electronically.
 7. The check are given to another person, in most cases another College of Nursing Business Office personnel to verify.
 8. Upon verification they sign the check transmittal. The original processor signs the transmittal as well during this time.
 9. The PDF signatures are then printed (locked) and a copy of the entire PDF are placed into the file folder for reconciliation purposes.
 10. All the checks are then bundled up and a destroy date is written on the bundle. The date of destroy is usually 2 weeks after the date of deposit. Then the bundle is placed back in the safe located in room 315Z to await destroy date.
 11. Once date arrives, the entire bundle is run through shredder currently located in room 315Z. Please note: Blue bins are NEVER used for destruction of the check bundles.
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Cost Center Reconciliation Process

A. PURPOSE

Reconciliations provide verification of financial transactions, ensure the accuracy and integrity of financial reporting records, and protects University assets, serving as a key element of the University's system of internal controls.

B. SCOPE

Reconcile all assigned cost objects on a monthly basis.

C. RESPONSIBILITIES

Review all monthly income and expenses posted to assigned CON cost centers. Ensure that amounts are correct and that the proper cost center and GL account has been charged. Review required supporting documentation and compare to transaction to check for accuracy. As of FY25 support is no longer copied to reconciliation folder. This was deemed redundant by UK Audit, as all support is available via SAP. (One exception to this rule is ARIBA charges. There is a coding error in the system which makes the support to these charges illegible. Support for these charges is saved by CON Purchasing in the "Completed ready to file" folder. These documents should be moved to the reconciliation folder during the reconciliation process).

D. PROCEDURES - Reconciliation Process

<https://ufs.uky.edu/bpm/e-17-6-reconciliation-and-review-financial-transactions>
(WBT Quick Reference attached)

Step 1 – Run necessary reports

Print a copy of your Reconciler Approver Document. You can find this on the Finance drive in 000-CON Accounts/Cost Center/FY25. Place the date in the appropriate cell after you have completed the reconciliation process for each assigned cost center. If documentation is missing, leave blank until you have gathered all backup. Note: Any accounts added to the Chart of Accounts need to be updated on this document.

Ledger & Line Item Reports

Log into Tableau <https://analytics.uky.edu>

Select the Home button

Click into the top right Search Box.

Search for **"Budget vs Actual – 2"** published by Amar, Matou on Jan 31, 2024. You are free to use another report

Select Variable Screen. Click the Star that appears above the black bar to designate this Variable Screen as one of your Favorites.

SELECTING VARIABLES

Fiscal Period – Select from the drop down

Fiscal Year – Type in correct year

Business Area - 0101, UK w/o component units
0301, UK – The Fund
Select **“Apply”**

Budget Family - 01, General Fund-State Approp
06, Affiliated Corporations
07, Income Supported Accounts
12, Internally Designated
99, Not Applicable
Select **“Apply”**

Department - 7E000, Nursing Administration
7E100, Nursing Instruction
7E300, Nursing Continuing Education
Select **“Apply”**

The screenshot shows the 'Variable_Screen' interface. On the left, there are several filter sections with dropdown menus and text inputs:

- Fiscal Period:** 008 - February
- Fiscal Year:** 2024
- Document Number:** (empty)
- Company Code:** UK00
- Order (SIO):** (empty)
- Department (Combined):** *Select Department(s), or All (Multiple values)
- WBS_Element:** (All)
- Business Area (Combined):** (Multiple values)
- Functional Area (Combined):** (All)
- FCTR Budget Family (Combined):** (Multiple values)
- Fund (Combined):** (All)
- Funds Center (Combined):** (All)
- Commitment Item (Combined):** (All)
- Document Type (Combined):** (empty)

On the right, there is a table with the following data:

Original Budget	\$14,053,118.14
Annual Budget	\$16,653,026.57
Prior Month Balance	\$6,538,253.32
Current Month Actual	\$1,197,531.14
YTD Actual	\$7,735,784.46
YTD Fund Reservations	\$5,633,186.75
YTD Encumbrances for POs	\$172,389.54
YTD Parked FI Docs	(\$192,148.65)
Available Budget	\$3,303,814.47

A large green play button icon with the word **EXECUTE** in green capital letters is overlaid in the center of the interface.

Click **“Execute”**

This will take you to the **“Funds center balances: Budget vs Actual”** report otherwise known as the **Ledger**

Ledger - Downloading to Excel

If an area is highlighted on the report deselect and remove highlighting, otherwise you will only download this portion of the report.

On the dark ribbon look for a small rectangle with a downward arrow. Click on the drop down and select "Crosstab"

Select "CSV" then "Download"

Click on the **bva icon** download (shown below) in the top right corner to open



Now your unformatted Ledger data for all cost centers will appear

Note this defaults to "Unicode Text"

Save as "Excel Workbook". (I save this on the Finance drive/ Cost Center/FY25/ 000 Tableau Monthly Reports)

X out of Saved Workbook and return to Tableau

Line Item - Downloading to Excel

Search for the report named " Budget vs Actual – 1 published by Lavender, ShaRona on Jul 10, 2024. I use the same variables as before and after executing I select the "Actual by Period Detail with Vendor". Again, you are free to find what Tableau report works best for you.

Select Variable Screen. Click the Star that appears above the black bar to designate this Variable Screen as one of your Favorites.

SELECTING VARIABLES

Fiscal Period – Select from the drop down

Fiscal Year – Type in correct year

Business Area - 0101, UK w/o component units

0301, UK – The Fund

Select **"Apply"**

Budget Family - 01, General Fund-State Approp

06, Affiliated Corporations

07, Income Supported Accounts

12, Internally Designated

99, Not Applicable

Select **"Apply"**

Department - 7E000, Nursing Administration

7E100, Nursing Instruction

7E300, Nursing Continuing Education
Select **“Apply”**

Click **“Execute”**

This will take you to the **“Funds center balances: Budget vs Actual”** report otherwise known as the **Ledger**

Make sure no area on the Budget vs Actual is highlighted.

Select **“Actual by Period detail with vendor”**. This will create your Line Item report.

Make sure no area on this report is highlighted.

Select **“Crosstab”**

Select **“CSV”** then **“Download”**

Click on the **bva icon** download (shown below) in the top right corner to open



Now your unformatted Line Item data for all cost centers will appear

Note this defaults to **“Unicode Text”**

Save as “Excel Workbook”. (I save this on the Finance drive/ Cost Center/FY25/ 000 Tableau Monthly Reports)

Ledger – Reformatting and saving to Reconciliation folder

Reformat Ledger data so that report looks similar to the one below

Save a separate report to each Cost Center’s Reconciliation folder.

Bring negative “Available Budget” amounts to Budget Director’s attention.

Funds center balances : Budget vs Actual										
June 2022	Ledger									
Funds Center		Commitment Item		Annual Budget	Current Month Actual	YTD Actual	YTD Fund Reservations	YTD Encumbrances for 2022	YTD Parked FI Docs	Available Budget
1012136720	CON ASSOCIATE DEAN COMMITMENTS	513510	Research Graduate Assistants			\$0.00				\$0.00
1012136720	CON ASSOCIATE DEAN COMMITMENTS	520680	Graduate Student Health Program			\$0.00				\$0.00
1012136720	CON ASSOCIATE DEAN COMMITMENTS	520730	Miscellaneous Fringe Benefit - Other			\$0.00				\$0.00
1012136720	CON ASSOCIATE DEAN COMMITMENTS	530019	Domestic Travel - Use with TRIP System				\$6,152.04			(\$8,125.85)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	530039	Foreign Travel - Use with TRIP System		\$3,227.10	\$5,928.11				(\$5,928.11)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	530191	Workshop and Conference Payments			\$378.50			\$0.00	(\$378.50)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	530503	Registration fees			\$50.00				(\$50.00)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	531201	Printing from External Vendor		\$365.50	\$365.50			\$0.00	(\$365.50)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	531205	Printing: Managed Print Services		(\$190.00)	\$0.00			\$0.00	\$0.00
1012136720	CON ASSOCIATE DEAN COMMITMENTS	535205	Technical Software/Licenses and Supplies		\$899.40	\$899.40				(\$899.40)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	540316	Books, Pamphlets and Reprints			\$198.02				(\$198.02)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	540347	Meals and Refreshments		\$281.05	\$281.05				(\$281.05)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	540348	Procord Purchases		(\$1,355.95)	\$0.00				\$0.00
1012136720	CON ASSOCIATE DEAN COMMITMENTS	639305	Environmental Charges		\$3.20	\$5.92				(\$5.92)

Line Item - Reformat and Save the Line Item Rpt using the same Process as the Ledger

Your reformatted report should look similar to the one below

Save a separate report to each Cost Center's Reconciliation folder.

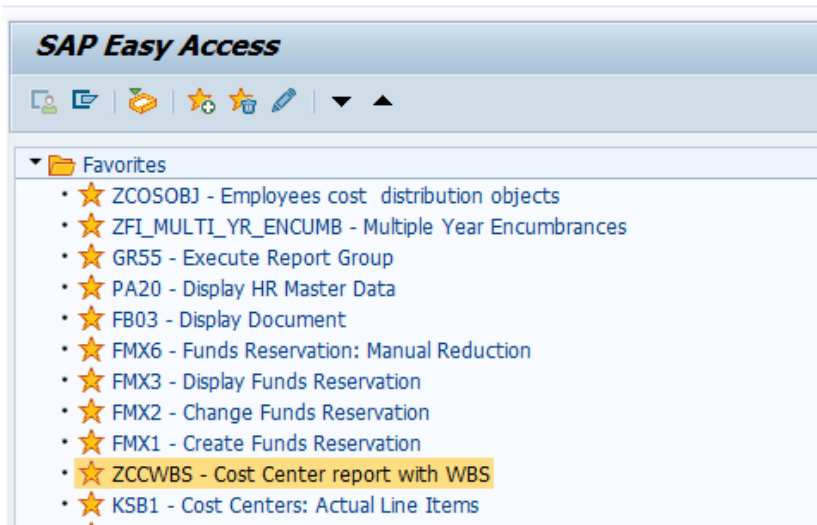
Funds center Actual by Period with vendor							
Per 012 2022 Line Item Rpt							
Funds Center	Commitment Item			Document Number	Posting Date	Header Ref #	Current Amount
1012136720	CON ASSOCIATE DEAN COMMITMENTS	530039	Foreign Travel - Use with TRIP System	5300063166	6/30/2022	Chung Madrid 5/19-5/22	\$1,056.86
1012136720	CON ASSOCIATE DEAN COMMITMENTS	530039	Foreign Travel - Use with TRIP System	5300064173	6/30/2022	Garland 5/27-6/7, 2022	\$386.27
1012136720	CON ASSOCIATE DEAN COMMITMENTS	530039	Foreign Travel - Use with TRIP System	5300064173	6/30/2022	Garland 5/27-6/7, 2022	\$38.00
1012136720	CON ASSOCIATE DEAN COMMITMENTS	530039	Foreign Travel - Use with TRIP System	5300064173	6/30/2022	Garland 5/27-6/7, 2022	\$1,745.97
1012136720	CON ASSOCIATE DEAN COMMITMENTS	531201	Printing from External Vendor	109554364	6/21/2022	GL account correction	\$190.00
1012136720	CON ASSOCIATE DEAN COMMITMENTS	531201	Printing from External Vendor	5300058490	6/4/2022	Ferguson 5/1-5/20, 2022	\$175.50
1012136720	CON ASSOCIATE DEAN COMMITMENTS	531205	Printing: Managed Print Services	109554364	6/21/2022	GL account correction	(\$190.00)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	535205	Technical Software/Licenses and Supplies	5300062009	6/27/2022	Mar 23-31 2022 Esterline	\$899.40
1012136720	CON ASSOCIATE DEAN COMMITMENTS	540347	Meals and Refreshments	5300058490	6/4/2022	Ferguson 5/1-5/20, 2022	\$281.05
1012136720	CON ASSOCIATE DEAN COMMITMENTS	540348	Procard Purchases	1200506412	6/1/2022	AP Concur Accrual	(\$1,355.95)
1012136720	CON ASSOCIATE DEAN COMMITMENTS	639305	Environmental Charges	6701128163	6/30/2022	Environmental Charge	\$3.20
1012136720	Total						\$3,230.30

Note: Current Amount on the Line Item should equal the Current Amount on the Ledger

Step 2 - Gather and review documentation

Payroll Expense

If the Line Item Report includes current month activity on Commitment Items beginning with 51xxxx or 52xxxx (Payroll) then you will need to run a Payroll Rpt. In SAP double click on ZCCWBS – Cost Center report with WBS.



Select the Variant icon in the upper left corner (circled in red). Then insert Crhens2 into the Created By box and select the green check box.

Cost Center Report - Administrator

Selection Options

Find Variant

Variant: 2022

Environment: 2022

Created By: Crhens2

Changed By:

Original Language:

Payroll area: to

Fund: to

Wage Type Selections

Wage type application

Double click on the "COST CTR PYRLL Excludes Cell exp and term vac"

Insert the dates in "Selection Period" and the "Cost Center".

Select the small check mark under "Cost Center Report – Administrator", to run the report.

Cost Center Report - Administrator

Selection Options

Company Code: UK00

Selection Period: 06/01/2022 to 06/30/2022

Cost Center: 1012136750

Internal Order: to

WBS element: to

GL Account: 530530

Employee: to

Organizational unit: to

Payroll area: to

Fund: to

Wage Type Selections

Wage type application

Wage type

Other Selections

Display Year-to-Date values

Exclude Accruals

Cost Center Report - Administrator

Payroll Details Time Data Detail FI/CO Postings Payroll Cluster

Cost Center Report from 06/01/2022 to 06/30/2022

	WBS	Fund	Amount	Cost C...	Wage ...	Wage Type Text	Name	Postin...	Cost...	MTD Amount	E...	Name
Cost Center Report - Administrator			10,798.62							10,798.62		
Cc 1012136750 - CON DEV/ALUMNI		0011030100	10,798.62	1012136...			CON DEV/ALU...			10,798.62		

Choose "Expand" then "Cost Element Level"

Now select the Printer Icon

In the "Windows Device" dropdown select Microsoft Print to Pdf then select the green check mark at the bottom of the screen.

Save Payroll Rpt Pdf to Cost Center Reconciliation folder and enter the amount on the Line Item Rpt.

File name should have similar format as "1012136750 Payroll Rpt June 2022".

Payroll total on the report should be equal to the total of all 52xxxx and 53xxxx current month account activity. Show the sum of all payroll activity (GL) and the amount shown on Payroll Rpt. Differences may be due to JV's for Payroll Adjustments, Accruals, items related to retirement or tuition reimbursement.

Review support and ensure all variances relate to CON Employees.

File Home Insert Draw Page Layout Formulas Data Review View Developer Help Acrobat												
Wingdings 2 11 A" A ^x												
General Conditional Formatting Styles Cells												
Σ AutoSum Fill Sort & Find & Filter												
11												
A B C D E F G H I J K												
Funds center Actual by Period with vendor												
June 2022 Line Item Rpt												
Funds Center Commitment Item Document Number Posting Date Header Ref # Current Amount												
1012136750	CON DEVELOPMENT AND ALUMNI	512021	Professional Administrative Full-Time Regular Pay	8500059779	6/30/2022	PP0000021121	\$4,304.49					
1012136750	CON DEVELOPMENT AND ALUMNI	512022	Professional Administrative FT Non-Productive Pay	8500059779	6/30/2022	PP0000021121	\$430.40					
1012136750	CON DEVELOPMENT AND ALUMNI	512071	Professional Non-administrative FT Regular Pay	8500059783	6/30/2022	PP0000021121	\$2,302.22					
1012136750	CON DEVELOPMENT AND ALUMNI	512071	Professional Non-administrative FT Regular Pay	8500059784	6/30/2022	PP0000021121	(\$143.86)					
1012136750	CON DEVELOPMENT AND ALUMNI	512072	Professional Non-administrative FT Non-Productive	8500059783	6/30/2022	PP0000021121	\$863.18					
1012136750	CON DEVELOPMENT AND ALUMNI	512072	Professional Non-administrative FT Non-Productive	8500059784	6/30/2022	PP0000021121	\$143.86					
1012136750	CON DEVELOPMENT AND ALUMNI	520104	Employee Health Coverage - Prof Administrative	8700015462	6/17/2022	SD May 2022	(\$363.00)					
1012136750	CON DEVELOPMENT AND ALUMNI	520104	Employee Health Coverage - Prof Administrative	8700015600	6/30/2022	SD June 2022	(\$927.00)					
1012136750	CON DEVELOPMENT AND ALUMNI	520104	Employee Health Coverage - Prof Administrative	8500059779	6/30/2022	PP0000021121	\$927.00					
1012136750	CON DEVELOPMENT AND ALUMNI	520109	Employee Health Coverage - Prof Non-administrative	8500059783	6/30/2022	PP0000021121	\$368.48					
1012136750	CON DEVELOPMENT AND ALUMNI	520204	Employee Life Insurance - Prof Administrative	8500059779	6/30/2022	PP0000021121	\$2.63					
1012136750	CON DEVELOPMENT AND ALUMNI	520209	Employee Life Insurance - Prof Non-administrative	8500059783	6/30/2022	PP0000021121	\$1.76					
1012136750	CON DEVELOPMENT AND ALUMNI	520404	FICA - Professional Administrative	8500059779	6/30/2022	PP0000021121	\$380.80					
1012136750	CON DEVELOPMENT AND ALUMNI	520409	FICA - Professional Non-administrative	8500059783	6/30/2022	PP0000021121	\$229.19					
1012136750	CON DEVELOPMENT AND ALUMNI	520504	Retirement - Professional Administrative	8500059779	6/30/2022	PP0000021121	\$473.48					
1012136750	CON DEVELOPMENT AND ALUMNI	520509	Retirement - Professional Non-administrative	8500059784	6/30/2022	PP0000021121	\$316.54					
1012136750	CON DEVELOPMENT AND ALUMNI	520720	Miscellaneous Fringe Benefit - Staff	8500059779	6/30/2022	PP0000021121	\$118.37					
1012136750	CON DEVELOPMENT AND ALUMNI	520720	Miscellaneous Fringe Benefit - Staff	8500059784	6/30/2022	PP0000021121	\$79.13					
1012136750	CON DEVELOPMENT AND ALUMNI	520766	AD&D Insurance-Prof Administrative	8500059779	6/30/2022	PP0000021121	\$0.57					
1012136750	CON DEVELOPMENT AND ALUMNI	520771	AD&D Insurance-Prof Non-Administrative	8500059783	6/30/2022	PP0000021121	\$0.38					
1012136750	CON DEVELOPMENT AND ALUMNI	530149	Promotional Items	5300063864	6/30/2022	Ferguson 5/30-6/2, 2022	\$3,161.24					
1012136750	CON DEVELOPMENT AND ALUMNI	530503	Registration Fees	5300059683	6/11/2022	Moore May 22 batch	\$450.00					
1012136750	CON DEVELOPMENT AND ALUMNI	531201	Printing from External Vendor	109554364	6/21/2022	GL account correction	\$98.00					
1012136750	CON DEVELOPMENT AND ALUMNI	531205	Printing: Managed Print Services	109554364	6/21/2022	GL account correction	(\$98.00)					
1012136750	CON DEVELOPMENT AND ALUMNI	531205	Printing: Managed Print Services	5300058490	6/4/2022	Ferguson 5/1-5/20, 2022	\$169.00					
1012136750	CON DEVELOPMENT AND ALUMNI	540348	Procure Purchases	1200506412	6/1/2022	AP Concur Accrual	(\$619.00)					
1012136750	CON DEVELOPMENT AND ALUMNI	639305	Environmental Charges	6701128165	6/30/2022	Environmental Charge	\$1.18					
1012136750	CON DEVELOPMENT AND ALUMNI	Total					\$12,671.04					

Check off items on the Line Item Report after they have been reviewed. I often place notes on this spreadsheet if I have information that I am waiting on. Select column "I" to the right of the Current Amount column. In the Font area of the task bar select the font "Wingdings 2" and then **Bold**. To create a check mark (click shift P).

Expenses

Expense Cost Elements/ GL Accounts begin with 53xxxx and above.

Run the KSB1- Cost Centers: Actual Line Items report for the cost center you are reconciling.

Select the little box icon that is in the area circled in red. Search and select the Layout /CRHENS2 then enter the correct cost center and Posting Date range. Select the check mark top left to run the report.

Display Actual Cost Line Items for Cost Centers : Initial Screen

Further Selection Criteria...

Controlling Area: UK00

Cost Center: 1012136750 to []

or

Cost Center Group: []

Cost Element: [] to []

or

Cost Element Group: []

Posting Data

Posting Date: 06/01/2022 to 06/30/2022

Settings

Layout: /CRHENS2 (circled in red) CON Business Office

More Settings

Compare the total of monthly activity with that of Line Item Report. They should equal.

Expenses have numbers 53xxxx and above. In the Column named "RefDocNo" look for any five-digit numbers. These identify the Report Key or batch that this expense was processed. These items were processed thru the Concur system. Concur Travel expenses have an Approval Flow/ Audit Trail and require no further review (per Jon Shouldis).

All other expense backup can be found in SAP using KSB1 or GR55 and then drilling into the expense. If an expense refers to a PO, click into the PO number then into the IR-L Material Doc#. Select "Follow-On

Documents in the ribbon and double click "Accounting document".

Above the little magnifying glass click on the drop down and select "Attachment list". This should show you the supporting documents that are saved in SAP for this transaction.

Review for accuracy, look for the following:

Signed Order Forms should include electronic signatures from the approver(s). Cost Center and G/L accounts should match those posted on SAP.

Invoice amounts should match amount of the transaction.

Goods receipt or Pick Ticket to ensure orders were received.

Expenses that do not require external backup

Expense items, like the ones listed below, are generated outside of the CON and may not have backup.

- Environmental Charge
- Strategic Sourcing
- AP Concur Accrual
- Printing: MPS

Income

Income Cost Elements/ GL Accounts begin with a 4xxxxx.

Review cash deposits. Backup should include copy of checks and deposit slip. Ensure that the cost centers on backup match the cost center where the income was posted.

Some Income is posted via JV. Review the backup on these. Income that is generated for Fees and Tuition are processed outside of the CON. I do not reconcile these transactions.

Review Encumbrances.

Run GR55 for Cost Center. Double click on Encumbrances to see RefDocNo.

Use T-Code FMX3 to Display Detail. Contact Purchasing (Kevin) if you have any questions.

Old items may need to be liquidated by Purchasing.

After all transactions have been reviewed, place the date on the “Date Reconciled” column of the Reconciliation Spreadsheet. All assigned Cost Centers should be reconciled each month. The completed Reconciliation Spreadsheet should be saved to Finance Drive and emailed to Supervisor for further review and approval.

Monthly Reconciliation and Review of Financial Transactions

Reconciliations provide verification of financial transactions, ensure the accuracy and integrity of financial reporting records and protects University assets, serving as a key element of the University's system of internal controls.

[BPM E-17-6](#)**Account Reconciliation Procedure**

1. Generate reports.
2. Gather documentation.
3. Verify beginning balance.
4. Compare supporting documentation.
5. Check reports.
6. Clear any discrepancies.
7. Review encumbrances.
8. Confirm budget availability.
9. Certify by Reconciler's and Supervisor's signatures.

[BPM E-17-6](#) Section V**Records Retention**

Retain Reconciliation Reports according to [University Records Program](#) or [Sponsor Record Retention Policies](#) (whichever is longer.)

Errors or Discrepancies

Discrepancies and errors must be corrected within 90 days, except in June, which must be corrected per the [Fiscal Year End Schedule](#).

- Make the required Journal Vouchers (actual amount corrections), budget transfer (budget corrections), or payroll corrections.
 - Research Financial Services posts all grant related JVs. WBS elements begin with 3xxxxxxx, Service center begin with 10438xxxx.
 - Hospital Accounting posts all hospital-only JVs: Cost center begin with 105xxxxxxx, 106xxxxxxx, and 107xxxxxxx.
 - Accounting and Financial Reporting Services: All other JVs.
- If error was made by another department, contact that department asap (follow up if necessary.)

[BPM E-10-1](#) and [BPM E-17-6](#) Section V**Important Links**[Fiscal Year End Closing Schedule](#)[University Records Program](#)[Sponsor Record Retention Policy](#)[BPM E-17-6](#)[BPM E-4](#)[BPM E-10-1](#)

Quick Reference Guides are not complete descriptions and are not to be used in place of the Business Procedures Manual (BPM). It is each employee's responsibility to know all proper procedures as per [UK's BPM](#) and other governing guidelines.

Budgeting

The College of Nursing follows the budgeting process and timelines as set by the Provost Budget Office and outlined below.

Budget Cycle:

- December/January
 - Axiom access confirmed
 - Base salary, position budget, and 1018 screen validation and corrections.
 - Delimiting of all unused positions.
- February
 - Faculty promotions
 - Axiom training
- March
 - Non-position budgeting (scholarships, endowments, gifts, and income accounts)
- April
 - Salary increases
 - Program and Student Fees
 - Wethington Awards
- May
 - Program Impact Statement
 - Complete budget entries in Axiom and tie out to recurring expenditure base sheets
- June
 - Fact sheet
- July
 - Finalize budget based on final projected fund balance returns from prior fiscal year, faculty salary saving projections, and UKHC-income commitments

CON Budgeting Principles:

- Reflects College strategic plan and anticipated new year objectives
- Maximizes resources and effort
- Cognizant of prior actuals and realistic future expectations
- Accounts appropriately for risk
- Groups cost and income appropriately and per accounting rules and other regulations
- Easy to analyze, track, and explain
- Financially sustainable over multiple years

Travel Guidelines and Procedures

Travel Guidelines

- 1) All University travel policies must be followed. The CON business office will review all trips prior to approval to ensure policy adherence. Check the UK Business Procedures Manual for more information regarding travel <https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-5-1.pdf>
- 2) Arrangements for traveling should not and will not be made until all required approval levels are received for the trip
- 3) Traveler's will need to obtain a Procard in their name. Procards can only be issued to employees that hold a regular Faculty/Staff position. Temporary status employees are not eligible to obtain a Procard
- 4) If you choose to make your own travel arrangements, you must work with the CON travel expert to ensure all applicable policies are followed. Failure to do so could have negative financial impacts.
- 5) If a business-related airfare is cancelled and results in an airfare credit issued in your name, the credit cannot be applied to a personal airfare purchase. The credit must be applied to the next business-related trip in coordination with the CON travel expert.
- 6) Any airfare originally purchased on a grant that results in a credit, the original expense will have to be transferred by the business office to a College funded account.
- 7) All international trips require pre-approval from UK's International Center Airfare cannot be booked until the travel agency has this approval on file

For the best possible outcome for your trip/reimbursement - **Contact CON Travel Expert Kevin Garland @ 257-4617 or kevin.garland@uky.edu**

Travel Steps

- 1) Obtain and completely fill out the travel request form based on the following criteria that is applicable to your trip
 - a. Create the travel request in via the Concur Travel & Expense Management System located in the employee self-service tab in the myUK portal. Training materials can be found at: <https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/travelrequest.pdf>
 - b. If your trip doesn't contain reimbursable expenses you will need to complete the CON employee travel request (excel) form. <https://www.uky.edu/nursing/about-us/our-faculty/facultystaff-governance-resources>
- 2) Provide all details related to the travel

-
- a. *Title of workshop, conference, other:* Please do not use abbreviations (e.g., AAHFA, NIH. AHA). Use the complete names/titles to avoid delays caused by the need to ask for clarification.
 - b. Determine appropriate funding source. The 10-digit account # will need to be provided.
 - i. For Concur requests --- If multiple funding sources apply please enter primary funding source account# and provide additional accounts in the comments area
- 3) Estimate the cost of the trip
- a. *Total anticipated cost of the trip:* Please provide good estimates if your total reimbursement is 10% or \$250 greater than the estimated total that has been pre-approved a 2nd round of approvals will be necessary
Any exceptions to the travel allowance cap must have prior approval before the travel is booked.
 - b. Mode of travel
 - i. *Airfare:* Estimates can be obtained by contacting the CON travel expert, using the concur system, contact your administrator's support person, or check with a UK approved travel agent (AAA 859-323-5354; Avant 859-233-0000) to estimate costs.
 - ii. *Ground Transportation:* Estimate the cost of taxi's, buses, shuttles, uber, lyft and metro system fees to/from the airport and/or from your meeting site. Transport to/from **ALL MEALS** is not an allowable expense
 - iii. Personal vehicle or auto rental in lieu of other ordinary transportation will be allowed only with written justification, approved in advance by the reporting administrator.
 - iv. Auto rental for trips less than 500 miles one way do not require the above-mentioned additional justifications/approvals
 - v. Insurance for collision or comprehensive damage on rental vehicles and roadside assistance are not an authorized expense. These expenses are covered by the University's Actual Cash Value Comprehensive & Collision coverage plan. Must have MVR on file with Risk Management
 - c. *Hotel:* Provide an estimate based on the full cost (including taxes and other fees) of the room for of the hotel.
 - d. *Per diem:* Determine the per diem that is allowed for the travel location. You can do this by going to http://www.gsa.gov/Portal/gsa/ep/contentView.do?contentId=17943&contentType=GSA_BASIC per diem is determined based on the city you lodge in along with the time of day you leave/return. To be reimbursed for the meals (breakfast, lunch and dinner) you must be in travel status the entire time frame designated for each meal.
- 4) Obtain Approvals
- a. Please allow up to 3 working days for this initial approval to ensure timely airfare purchases. Note – Changes may be requested/needed, and this will result in rerouting for approvals
 - i. Approvals for travel requests entered via Concur will route for approvals electronically upon submission (traveler, supervisor, business office)
 - ii. Submit the CON Employee travel request form to conorders@uky.edu. The business office will review and route this form for approval signatures
 - b. Once fully approved you will be notified by the CON Travel expert

5) Travel arrangements

- a. The CON Travel Expert will process all travel arrangements and pre-pay your registration, lodging and airfare expenses. Pre-payment of travel arrangements will be paid using a valid Procard in the traveler's name.
- b. If you elect to book your own travel arrangements, you will need notify and work with the CON travel expert to ensure compliance.

6) Reimbursement

- a. Per University policy all reimbursements must be submitted to the accounts payable division within 60 days of your return. Travel reimbursements submitted later than 60 days will be paid through payroll and be subjected to taxes.
 - b. All documentation and itemized receipts excluding meal receipts should be submitted as a pdf file to the Business Office within 10 days of your return. Itemized receipts must be provided to avoid delays in processing your reimbursement. Retain the originals for your records.
 - c. The lodging expenses for the room and taxes will be pre-paid on your university procard. Other expenses incurred at the hotel will be the responsibility of the traveler to pay at the time of check out. Please be sure to include the lodging receipt with your other reimbursable receipts and circle any charges that are personal and not appropriate for reimbursement (e.g., alcoholic beverages, food from the mini bar, movie rentals).
 - d. Reimbursement can be expected within 10-15 working days from the time you submit your completed packet to the business office with all appropriate documentation, provided the reimbursement is error free
 - e. Follow this link to learn how to track the status your reimbursement report.
<https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/workflow.pdf>
-

Dean's Travel Policy

As budget allows, the College of Nursing will try to provide support to Faculty travel for professional development opportunities based on tiered priorities and a match with the strategic plan of the College.

The following types of travel will be prioritized:

- **Category 1:** Primary/Lead Podium Conference Presentation (Primary or Senior Author)
(Up to \$2000) – To receive funding, you must provide a letter/email from the conference with acceptance of abstract
- **Category 2:** Poster Presentation / Panel Presentation / Association Executive Leadership
(Up to \$1,500)
- **Category 3:** Other Faculty / Professional Development and Travel, when approved
(Up to \$1,000)

The College will only support one travel/professional development per faculty member during the year. Due to budget limitations, not all faculty travel requests will be awarded.

This policy does not apply to grant-funded travel, start-up funding, endowment-supported travel, or Dean-invited travel. Use these funds first before using the prioritized funding.

Staff Professional Development and Travel Policy

- **Professional Development Funding Criteria**

- The intention of this policy is to support College of Nursing (CON) staff development and the CON 2025 strategic plan.
- Funds from the CON are available for staff to present their work at professional conferences or for professional development opportunities.
- Requests are limited to \$1,000 a year or \$2,000 once every 2 years as funding allows. However, there will be no out-of-pocket costs to the traveler.
- The attached request for funding application needs to be filled out completely including:
 - A summary of cost with an endorsement of the request from the supervisor.
 - Travel requests must be accompanied by a brief letter from the staff member indicating the following:
 - Name of the conference, professional meeting, or professional development opportunity.
 - The title of the poster/presentation to be presented and the list of authors (if applicable).
 - The date(s) and the location of the conference.
 - A break-down of the costs of the trip.
 - Note the dates (if applicable) of any prior CON-funded professional development travel or expense.
 - A brief description of how your travel will benefit the College of Nursing strategic plan.
 - Upon return from travel, a summary of what you learned will be required and disseminated to the College.

- **Approval Criteria and Process**

- Completed funding applications are to be sent to your supervisor.
- Upon supervisor approval, the employee will then forward the application on to the Business Office for final approval.
- A decision on support will be made within 1 week after receiving all the necessary materials.
- Upon final approval, the employee would then submit a Concur travel approval request (Business Office support is available for submittal).
- Travel requests which include poster or podium presentations will be prioritized over other requests.
- Each request will be considered based on justification, supervisor input and available CON travel dollars.

College of Nursing Staff Professional Development Request Form

Employee Name:

Conference / Workshop Name:
(or other professional development opportunity)

Date:

Location:

Abstract/Podium/Poster – Y/N

Presentation Title (if applicable):

Proposed Budget:

How does this professional development / travel contribute to the CON strategic Plan and how will you disseminate information learned in the training to relevant faculty/staff?

- For Concur questions, please refer to Kevin Garland
- Consideration for Professional Development does not require a presentation or poster.

Supervisor Approval

Business Office Approval

Consultancies and Personal Service Contracts (PSCs) Policy

Overview

The purpose of this policy is to define how the College of Nursing manages the approval, onboarding, and payment of consultants and Personal Service Contracts (PSC).

The University's policy governing personal service contracts is established by state law in the Kentucky Revised Statutes (KRS 45A.690 to 45A.725). The University is required to be compliant with State law and therefore must follow procedures carefully.

- Contracts are reported for review to the Government Contract Review Committee (GCRC) of the Kentucky state legislature.
- The GCRC meets on the second Tuesday of the month in Frankfort.
- Contracts must be submitted to the GCRC prior to the close of business of the last working day of the month for review at the following month's meeting.
- Each contract must include a thirty (30) day cancellation clause.

Under no circumstances should a faculty or staff member initiate services with a consultant/PSC until approval is provided by UK Procurement Services and an email authorization to proceed is sent by the CON Business Office to the Requester.

Definitions

Personal Service Contracts (PSC) are defined (KRS 45A.690) as:

"...an agreement whereby an individual, firm, partnership, or corporation is to perform certain services requiring professional skill or professional judgement for a specific period of time at a price agreed upon."

Personal Service Contract Types/Examples

- Consultants and consulting services
- Graphic and web design
- Executive search firms
- Attorneys
- Auditing or accounting
- Licensed medical personnel (not employment agencies)
- Insurance adjusters
- Architect or engineer
- Others, where a license or legal authorization is required (contact Procurement Services for determination)

Note: Software development may or may not be subject to the PSC process contingent on the work being performed. Contact UK Procurement Services for questions regarding the work being performed).

Examples of Other Services/Contracts Not Included as PSCs (not inclusive of everything)

- Maintenance contracts
- Temporary/recruiting services
- Honorariums
- Visiting speakers
- Entertainers or performing artists
- Concessions
- Laundry

CON Process Flow

Under no circumstances should a faculty or staff member initiate services with a consultant/PSC until approval is provided by UK Procurement Services and an email authorization to proceed is sent by the CON Business Office.

The following procedures have been established to ensure that PSCs are approved and paid on time.

- Requester submits a purchase request and official quote from the consultant/PSC to the CON Business Office (CONOrders@uky.edu) to request a PSC. This submittal only initiates the process and ensures there is budget for the activity. Approval of the purchase request only initiates the process and does not authorize the Requester to proceed using the consultant/PSC.
- Upon receipt of the purchase request, Business Office determines if the request requires PSC-approval.
- CON Business Office (Kevin Garland) sends Requester the appropriate documents to complete, including:
 - “Personal Service Contract Form - Proof of Necessity”
 - “Independent Contractor Form”
 - “Worker Status Form”

– and 1 of the 2 forms below –

 - “Personal Service Contract Form – Less than \$10K” (for PSCs valued at less than \$10,000)

– or –

 - “Personal Service Contract Form” (for PSCs valued at more than \$10,000)

Please note the following for PSCs over \$10,000:

- A competitive solicitation and UK contract is required.
- Contractors may not begin work until the contract is reported to the Government Contract Review Committee (GCRC).

-
- Requires signatures from the contractor, Office of Legal Counsel, Executive Vice President for Finance and Administration, and Chief Procurement Officer (signatures are completed by UK Procurement Services)
 - Requester submits the appropriate forms above to the Business Office (CONOrders@uky.edu) for review and approval.
 - Upon approval by the Business Office, CON Business Office authorizes Requester to send the appropriate forms below to the consultant/PSC for their signatures.
 - Independent Contractor Form
 - Personal Service Contractor Form (either \$10K or less than \$10K as appropriate)
 - Upon receipt of the above forms (with signature), Requester sends all 4 signed forms to the CON Business Office (CONOrders@uky.edu).
 - CON Business Office (Kevin Garland) sends all completed and signed forms (Independent Contractor Form, PSC Contractor Form, Proof of Necessity Form, and official quote) to UK Procurement Services.
 - **Please allow for at least 30 days for UK Procurement Services to fully approve PSC forms given the processing requirements of the Commonwealth of Kentucky outlined on page 1.**
 - Upon UK Procurement Services approval of the PSC, CON Business Office will authorize Requester, via email, to initiate services with the consultant/PSC. Do not initiate work with the consultant/PSC until UK Procurement Services and CON Business Office approvals have been received.
 - CON Business Office (Kevin Garland) will send consultant/PSC an email invitation via Payment Works to set up the consultant/PSC as a vendor in the system. Establishing the consultant/PSC as a vendor in Payment Works is required for payment. CON Business Office (Kevin Garland) is happy to assist consultant/PSC with this process, if needed.
 - Per the terms of the PSC Contract, Requester will send the “Personal Service Contract Invoice Form” to the consultant/PSC for completion and signature. The consultant/PSC will need to complete its own invoice that will accompany the “Personal Service Contract Invoice Form.”
 - Upon receipt of the Personal Service Contract Invoice Form and PSC invoice, Requester will send the form to CON Business Office (CONOrders@uky.edu). CON Business Office (Kevin Garland) will send the completed form to UK Procurement Services for payment.

Addendum

Notice of Amendment

- The Notice of Amendment is used to add additional services and/or increase the dollar amount of the contract.

-
- Requires signatures from the contractor, department, Office of Legal Counsel, Executive Vice President for Finance and Administration, and Chief Procurement Officer.
 - Contracts cannot be amended for at least ninety (90) days after the contract was initially reviewed by the GCRC.

Notice of Extension

- The Notice of Extension is reviewed at a scheduled GCRC meeting.
- The Notice of Extension of Contract is used to extend a contract for an additional period of time.
- Requires signatures from the contractor, department, Office of Legal Counsel, Executive Vice President for Finance and Administration, and Chief Procurement Officer.
- It can only extend a contract that has not already expired.

Memorandum of Agreement

- Memorandum of Agreements (MOA) are only used for personal service contracts between in-state, public agencies such as other state universities or colleges, local education districts, the Commonwealth of Kentucky, or any local governmental agencies.
- A Proof of Necessity must be submitted with the Memorandum of Agreement.
- There is no standard Memorandum of Agreement form.

Helpful Tips

- Provide a complete and accurate description of the work to be performed.
 - Be sure to avoid abbreviations or acronyms.
 - Reference the RFP number on the Proof of Necessity form if it applies to the contract.
 - Clearly identify the source of funds on the Proof of Necessity.
 - Be sure to ask for sufficient dollar amounts. Contracts cannot be amended for ninety (90) days.
 - An SRM Shopping Cart or SAP/ECC requisition is needed for a purchase order to be issued for payment.
 - The procurement card or a PRD are NOT allowed for payment.
 - Each department is responsible for obtaining signatures from the department and contractor.
-

Part Time Clinical Instructor Coverage Payment Changes

Purpose:

To establish a clear and transparent process for managing changes in part time clinical instructor coverage payment, ensuring timely communication, accurate documentation, and compliance with institutional policies.

Scope:

This policy applies only to part time clinical instructors and part time faculty within the Undergraduate (UG) Nursing Program.

Policy Statement:

Changes to clinical instructor coverage requires payroll to be updated appropriately. This ensures accurate payment processing, adherence to budgetary guidelines, and compliance with institutional policies.

Procedures and Responsibilities:

1. The **clinical instructor** is responsible for notifying the **faculty clinical coordinator** of proposed clinical instructor coverage changes.

Per the UK CON PT faculty contract:

*Any absence from a scheduled class must be approved in writing by the course coordinator except when reasonably and unavoidably prevented by emergency circumstances. **Requests must be made 7 days in advance if not an emergency.***

2. The **clinical instructor** is responsible to identify a substitute clinical instructor from among other clinical instructors who cover sections of the same course (if not an emergency). The intent would be to do a 1-1 swap of clinical days.
3. In the event of an emergency situation or other unavoidable circumstance, the **faculty clinical coordinator** is responsible to identify a substitute clinical instructor and then to notify the **clinical placement coordinator** of clinical instructor coverage changes (when a 1-1 clinical swap is not available).

Method of Notification:

The **faculty clinical coordinator** will include the following information to the **clinical placement coordinator** in an email:

- Course and Section number
- Name of clinical instructor requiring coverage
- Name of clinical instructor providing coverage
- Clinical date needing coverage
- Total number of hours requiring coverage

-
4. The **clinical placement coordinator** is responsible for maintaining a log of days and hours of clinical coverage changes (per instructor) for each term. The clinical placement coordinator would only need to log those instances where a 1-1 swap was not identified and a payroll adjustment would need to be made.
 5. The **clinical placement coordinator** will provide the log to the **payroll specialist** monthly (or as needed) who will make necessary changes to payroll for the following scheduled pay date.

Compliance:

Failure to follow this policy may result in delays in payments and violation of human resource policies. All payment adjustments must go through official payroll channels. Unauthorized private transactions between clinical instructors for coverage payments are prohibited. Clinical coverage pay is calculated in alignment with the University of Kentucky payroll schedule. **If adjustments are necessary due to coverage date changes, overpayments, or payroll processing discrepancies, repayment by the employee to the University may be required.** Employees will be notified of any repayment obligations, including the amount due and the repayment process.

Non-Capital Asset Management Plan

Overview:

The following outlines the policy for managing non-capital assets and equipment procured by the College of Nursing (CON). The College of Nursing will follow the policies and procedures already in place by the University for the management of all Capital Assets.

Non-capital assets/equipment is defined by the University as any moveable equipment purchased at less than \$5,000 (with purchase price including all accessories, shipping and handling, installation, software, and trade-in amounts). Moveable equipment may include lab and scientific equipment, furniture, furnishings, fixtures, machinery, and instruments. Common expense G/L accounts used by departments for non-capital equipment generally begin with 53xxxx and 54xxxx.

BPM E-12-3 (V)(D)(2)(c)(2)(a) requires units to “[develop] an internal policy on tagging noncapital equipment.”

BPM E-12-3 (III)(A) requires departments to “maintain control of all items of furniture, equipment, vehicles and other moveable property assigned to the areas, regardless of cost.”

Policy:

Beginning 9/1/23, all tracking of non-capital inventory will be removed from eBARS and will be tracked using the following:

1. Microsoft SCCM (System Center Configuration Manager) for all computers/laptops;
2. Internal CON Simulation spreadsheets for all other non-capital asset equipment that are moveable and considered of “high value.”

Note: The College of Nursing received confirmation that removing all non-capital inventory from eBARS would not violate any UK policy, as confirmed by Bill Coleman via email on 8/3/23 (see appendix).

1. Microsoft SCCM: Roles & Responsibilities for CON IT Staff – Any computer that is ordered, configured, or passes through the CON IT department on 1st floor (CON Building, Room 117) will be checked for the following prior to delivery to customer.
 - a. CON IT staff
 - i. Ensure computer JTAG is affixed to computer.
 - ii. Ensure computer has appropriate encryption if mobile unit.
 - iii. Ensure computer is active on MC domain so SCCM query can be initiated.
 - iv. Document in Team Viewer application owner of machine, JTAG number.
 - v. Ensure standard naming convention for all computers remain CON + JTAG number.
 - vi. On a Biannual basis (at the beginning of each fiscal year, and 6 months thereafter) Microsoft SCCM queries will be run to confirm all non-capital assets in the CON environment. This data will be maintained in a central location in an excel spreadsheet.

-
- vii. On a Biannual basis (at the beginning of each fiscal year, and 6 months thereafter) items that have been sent to surplus will be noted on said spreadsheet and moved to worksheet for surplus items in CON.
2. Internal CON Clinical Simulation and Learning Center (CSLC) Equipment:
- a. Procurement will use G/L accounts for non-capital equipment that begin with 53xxxx and 54xxxx.
 - b. Upon receipt of non-capital equipment, Simulation staff will enter all non-capital equipment into their internal spreadsheet ("CSLC Inventory Control Sheet") and tag the equipment with UK CON asset tags.
 - c. Faculty/staff/students may check out non-capital equipment through submitting the "Simulation Supply/Equipment Check-Out Agreement." Upon receipt, Simulation Center staff will enter the information into Outlook Calendar and issue the equipment. Equipment return will be monitored by Simulation Center staff.
 - i. Link to Simulation Supply/Equipment Check-Out Agreement Form:
<https://nursing.uky.edu/sites/default/files/2023-06/CSLC%20Supply%20Equipment%20Checkout%20Agreement%20Fillable%20Form.pdf>
 - d. On an annual basis (at the beginning of the Fiscal Year), Simulation Staff will provide a physical count of all non-capital assets.

Appendix:

1. Email from William E. Coleman (Accounting Manager Principal, UK Accounting & Financial Reporting Service) regarding dispensation of non-capital inventory in eBARS (8/3/23)

From: Coleman, William E. <william.coleman@uky.edu>
Sent: Thursday, August 3, 2023 9:34 AM
To: Harris, Jason <jason.harris@uky.edu>
Cc: Stoltzfus, Todd J. <todd.stoltzfus@uky.edu>; Strunk, Steven W. <sstrun0@email.uky.edu>; Capital Assets Accounting <CapitalAssets@uky.edu>
Subject: RE: Question regarding dropping of non-capital equipment in Ebars

Hi Jason.

The handling of non-capital inventory is mostly at the discretion of the dept (you). The only exceptions might be sensitive items like computers for example (although still not required to be in eBARS) and non-capital equipment funded by grants where sponsor still holds title and has their own requirements for inventory tracking.

Thanks,
Bill

Recruitment

Purpose and Charge

The recruitment of new faculty members is among the most important endeavors in which the College of Nursing can engage. The purpose and charge of the faculty search committee is to identify, assist in recruitment and recommend faculty who will strengthen the intellectual culture of the College, bolster its teaching capacity and breadth, expand the scope of the research/scholarship portfolio, and advance clinical practice and service for the College. Predicated upon the principles of peer review and shared governance, the faculty search committee serves to ensure the quality of the tri-partite academic mission of the university and to perpetuate excellence among its faculty.

Search Committees Composition

The Dean, in collaboration with the Associate Deans of Faculty Affairs (Graduate and Undergraduate areas), will appoint two faculty search committees: one for tenure eligible positions and one for non-tenure eligible positions. Both committees will include five faculty members with representation from appropriate teaching areas (undergraduate and graduate) as well as title series who will serve for two year terms with “staggering” memberships. Specifically, the tenure eligible faculty search committee will consist of five tenured faculty members including a Chair (one year) and Co-Chair (one year). Note, PATA members, Associate Deans and Assistant Deans of academic programs are not eligible to serve. Specifically, the non-tenure eligible faculty search committee will consist of five faculty members including a tenured or tenure-track Chair (one year) and tenured or tenure track Co-Chair (one year). [Note, additional members or a separate search committee may be formed for senior administrative positions or senior researcher positions.]

Administrative support will be provided by the appointed Administrative Assistant for the search committee and the appropriate Associate Dean’s administrative assistant. The UKCON Human Resources Director will also serve as a resource. The Dean will generate a letter to faculty search committee members confirming appointment terms and will include these procedures.

Roles and Duties Performed

Committee Chair Duties

- Completes all required University training
- Serves as liaison and lead communicator between the committee and the hiring Associate Dean (AD)
- Solicits names of potential recruits from faculty and/or staff and extends personal invitation to those qualified to apply
- Calls and Chairs meetings
- Ensures that committee members are informed of the hiring ADs charge and mission of the committee, ground rules for conducting the faculty search process, and timeline
- Coordinates and maintains proper records with support of the Administrative Assistant
- Coordinates administrative and logistical support with the relevant area
- Ensures travel arrangements approved/cleared by the hiring AD (expenses usually only covered for finalists seeking tenure eligible positions)
- Coordinates the effort of committee members

-
- Performs all duties of the committee members including ensuring all members interview candidates and attend/review recorded candidate presentations
 - Maintains appropriate confidentiality about candidates, candidate materials and search committee proceedings
 - Provides search committee recommendation to the hiring AD on behalf of the committee

Committee Member Duties

- Completes all required University training and attends all scheduled meetings
- Reviews all applicant materials and screens applicants
- Participates in the interview process for all candidates
- Attends all search committee interviews and candidate presentations (onsite/virtual/conference calls)
- Maintains appropriate confidentiality about candidates, candidate materials and search committee proceedings
- Other duties as assigned by Chairperson

Associate Dean

- Works closely with committee Chair to communicate department needs
- Prescreens candidates with search committee Chair
- Makes final decision regarding reimbursement of travel expenses for candidates before on campus interview offer extended
- Ensures that for any tenure eligible position, the candidate's information (CV and Search Committee recommendation) is sent to PATA for appointment recommendation before the job offer is initiated)
- Determines final hire with the Dean
- Notifies candidates of decision and initiates communication with verbal offer
- Works with the CON HR Director to draft offer letter
- Initiates on-boarding process with the new faculty member to begin with assembly of dossier faculty review and comment on the appointment

Administrative Assistants

- Provides administrative support for hiring AD and Chair throughout search process including assuring candidate materials are complete
- Schedules all meetings (conference calls/onsite), creates itineraries, ensures presentations recorded, and facilitates welcoming experience
- Provides CON informational packets to candidates
- Maintains file of candidates interviewed with resulting outcome
- Submits necessary documentation to the Dean and HR Director

Human Resources Director (HRD)

- Ensures all faculty members are trained in University interviewing procedures
 - Ensures all interviewing and hiring procedures are followed in accordance to University regulations
 - Ensures all interview documents are maintained as well as hiring materials/offer letters
-

Records Retention Policies and Resources

UK Libraries Records Management Resources (to help employees manage university records): <https://libraries.uky.edu/records-management>

UK Human Resources Disposition of Departmental Files: <https://hr.uky.edu/records/disposition-departmental-files>

UK Human Resources Staff Employee Files: <https://hr.uky.edu/policies/staff-employee-files>

UK College of Nursing Retention & Destruction of Student Records: <https://nursing.uky.edu/sites/default/files/2023-07/Retention%20and%20Destruction%20of%20Student%20Records.pdf>

UK Research Data Retention and Ownership Policy: <https://www.research.uky.edu/research-misconduct/data-retention-and-ownership-policy#Retention>

UK College of Nursing Records Destruction Certificate Instructions: <https://nursing.uky.edu/sites/default/files/2023-07/Records%20Destruction%20Certificate%20Instructions.pdf>

Team Kentucky State University Model Records Retention Schedule: <https://kdla.ky.gov/records/RetentionSchedules/Documents/State%20Records%20Schedules/KYUniversityModel.pdf>

UK Libraries Records Retention Certificate: <https://libraries.uky.edu/sites/default/files/2024-09/kyrecordsdestructioncurrent.pdf>

Endowed Chair and Professorship Stewardship Review Policy

Purpose: An Endowed Chair or Professorship is the highest level of recognition established to fund the work of a faculty member and may include support for College of Nursing (CON) salary and research/scholarly activity. The CON is responsible to ensure the endowment terms and funds are managed in accordance with university policies and procedures.

This policy establishes the process and requirements for the stewardship and review of CON endowed chairs and/or professorships in alignment with [UK Administrative Regulation 8:4](#). It ensures effective management of endowed funds, transparent reporting, and alignment with the donor's intent and institutional goals in collaboration with the Office of Philanthropy.

1. Annual Plan and Budget:

- The holder of the endowed chair or professorship (hereafter referred to as "the endowed position") is required to submit an annual plan and budget detailing how the allocated funds will be spent over the academic year. Details to be provided will include, but not be limited to:
 - Key objectives, initiatives, and goals targeted for the budget year, aligning the academic, research, and service missions of the CON
 - An anticipated allocation of funds, detailing how the funds will support key objectives and activities in the CON (e.g., research programs, faculty development, student support, etc.).
- The endowed position will submit the annual plan and budget for approval to the dean and the assistant dean for administration and finance by June 15th of each year in anticipation of a July 1 start date for the plan.

2. Annual Impact Report:

- The endowed position is responsible for submitting an annual impact report to the dean, the assistant dean for administration and finance, and any other relevant stakeholders (including UK Philanthropy or donor representatives as required).
- The impact report will include, but is not limited to, the following components:
 - **Metrics:** Key performance indicators associated with the endowed position, such as:
 - Funded research programs or projects
 - Publications, presentations, or other scholarly activities
 - Awards, honors, or recognitions received by the endowed chair/professorship holder
 - **Expenditure Reporting:** If there are variances between the proposed and actual budgets, a justification will be provided. Significant variances of greater than \$2500 require approval during the fiscal year and may not just be reported at year's end.
 - **Donor-Specific Reporting:** Any additional reporting requirements or documentation as stipulated by the donor or UK Philanthropy, including the impact of the endowment on the specific academic or research goals.

3. Donor and Institutional Communication:

- The endowed position will work with CON administration and UK Philanthropy to ensure timely and appropriate communication with donors, as required.
- The endowed position will comply with any additional reporting requirements or protocols specified in the endowment's terms of agreement or by the donor.
- If scholarships are awarded, participation in the annual CON Scholarship luncheon is expected.

4. Review Process:

- The dean and assistant dean for administration and finance will review the submitted annual plan, budget, and impact report to assess the effectiveness of fund utilization, academic or research progress, and alignment with college and institutional goals.
- The dean and assistant dean for administration and finance will discuss any areas requiring adjustments or clarification with the endowed position holder, and appropriate action will be taken to ensure compliance with the original terms of the endowment.
- Periodic reviews may be conducted to evaluate the continued relevance of the endowment to the goals of the college of nursing, ensuring ongoing alignment with evolving strategic priorities.

5. Stewardship and Accountability:

- The CON is committed to maintaining transparency and accountability in the management of endowed funds.
- A stewardship review will be conducted every three years to ensure that the endowed chair or professorship continues to meet the standards set by the donor and the institution.

6. Policy Amendments:

- The college of nursing may amend this policy in response to changes in university regulations, donor requirements, or evolving academic needs.
-

Wethington Award Guidelines

Overview

This memorandum provides additional guidance for the Wethington Awards program at the University of Kentucky, College of Nursing. This program supports and incentivizes faculty members who are contributing to the University's research program.* These guidelines supplement the University's guidelines that are provided annually to the colleges. Per the University's 2024 guidelines, the *colleges are responsible for setting the criteria used to select awardees among faculty with primary appointments in their units, as well as the algorithm for calculating the award.* Please refer to the University guidelines for specific information and questions regarding process as well as Frequently Asked Questions (FAQs).

The Wethington program is designed to recognize the success of individual faculty in contributing to the University's research program by competitively obtaining extramural funding. **Only PIs, Co-PIs, MPIs, and Site PIs are eligible.** The criteria for the selection of nominees at the College of Nursing must include evidence of scholarly productivity and excellence, such as grants obtained or funded as a PI, MPI, CO-PI, or Site PI, the amount of salary funded from the grants, the publications in quality refereed journals, and opportunities for training of graduate students or post-doctoral fellows, to name a few.

Annually, the Research and Scholarship Advisory Committee will meet to review faculty research productivity and will make recommendations to the Dean on who will receive an award based on the award algorithm.

The University guidelines (March 2024) state that the Wethington Awards program serves five purposes:

- Increase the number of applications to extramural funding agencies;
- Increase the level of grant and contract funding;
- Provide enhanced opportunities for graduate student and postdoctoral training;
- Enhance the level of indirect costs revenue for redistribution and investment; and
- Facilitate the recruitment and retention of research-oriented faculty.

College of Nursing Criteria and Guidelines

- Wethington Awards are only for research grants.
Note: Program grants, planning grants, foundation grants, faculty loan program grants, conference grants, work force development grants, most HRSA grants, etc. are not considered research grants.
- Both new grants and ongoing grants are considered.
- Only faculty who are Principal Investigators (PIs), Co-PIs, MPIs or Site PIs are eligible for Wethington Awards.
- Research Title Series (RTS) faculty are not eligible for Wethington Awards.

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- Award Calculation Algorithm: If greater than 5.0% of base salary savings is achieved through grant-related salary savings, eligible faculty will receive 8.0% of their overall grant-related base salary savings as a Wethington Award, as funding allows.
 - Wethington Award calculation will be based only on PI, Co-PI, MPI, or Site PI awarded grants (not on all grants on which a faculty member may participate).
 - For faculty with appointments in other Colleges or Centers, responsibility for the award lies in the unit where the faculty member has primary appointment.
 - Awards will be made based on the five purposes listed in the University's guidelines.

Process

- The Research and Scholarship Advisory Committee will establish a scoring system for receipt of award that considers the five purposes and the individual's contribution to scholarly productivity and excellence.
 - Number and quality of publications related to the research grant are considered; no publications in predatory journals will be considered as part of the metric.
 - The Research and Scholarship Advisory Committee will meet, score, and make a recommendation to the Dean for the awards.
 - Wethington Award criteria will be reviewed annually by the Dean's Council.
-

Business and Facilities Operations Council

Purpose. To oversee the development and implementation of business and facilities policies and procedures that support the teaching, research, service and practice missions of the College of Nursing.

Functions:

1. Foster communication and the mutual exchange of ideas among faculty, students and staff pertaining to the business and facilities policies and procedures of the College.
2. Evaluate and advise the Dean on business and facilities processes and procedures impacting the teaching, research, service, and practice missions of the College of Nursing.
3. Oversee and advise Dean on facility resource and space allocation.

Membership:

1. Chief Administrative and Finance Officer (chair)
2. Budget Officer
3. Associate Dean of Research and PhD Faculty Affairs
4. Associate Dean of MSN & DNP Faculty & Practice Affairs
5. Associate Dean of Academic & Student Affairs
6. Associate Dean of Undergraduate Faculty and IPE Affairs
7. Director of Information Technology and Facilities.

Meetings: At least quarterly and as needed.

Business Continuity Plan

The College of Nursing (CON) Business Continuity Plan is a strategic playbook created to help maintain or quickly resume business functions in the face of disruption, whether that disruption is caused by a natural disaster, civic unrest, cyberattack, or any other threat to business operations.

The following outlines the procedures and instructions that the College of Nursing will follow during such an event to minimize downtime, cover business processes, human resources, communication and more. (Note: Please also reference the Building Emergency Action Plan).

Continuity Planning Team (CPT)

- **College Continuity Coordinator** – Todd Stoltzfus
 - Responsible for the activities in all listed sections, unless others are specifically assigned.
- **Operations** – Jason Harris
 - Coordinates the continuity and recovery of functions of the department along with facilities, local and remote data processing, and voice and data communications functionality of the organization.
 - Planning for vital records backup and storage, and identification of key support vendors is a preparedness duty.
 - Damage/impact assessment and implementation of the plan
- **Logistics** – Kevin Garland
 - Provides the necessary resources (supplies, personnel) to support recovery operations after an emergency. This includes items such as assigning personnel and providing supplies and other supporting services.
- **Planning** – Kevin Garland
 - Collects, evaluates, disseminates, and monitors the incident information and anticipates needs that may arise to address those needs before they become a problem.
 - Develops necessary Incident Action Plans, situation reports, maintaining all documentation and records for the incident and coordination of the department's activities during recovery.
 - Maintains information on the current and forecast situation and on the status of resources assigned to the incident.

Critical Functions

Critical Functions and Recovery Time Objectives (RTO), or the time by which CON must be able to resume critical operations are based on the actual needs of the department and that of the University in general and when critical operations must be resumed.

In the event of a disaster, the Continuity Planning Team is responsible for continuing and/or recovering the following critical functions:

Function	Recovery Time Objectives (RTO)	Impact	Requirements	Alternatives
Information Technology	1-2 days	Email, shared drives, myUK	Staff, power, rooms, functional equipment	UKIT
Conducting classes	< 1 week	Student graduation	Staff, power, rooms, functional equipment	In-person classes at another location, virtual classes
Payroll	< 1 week	Staff/Faculty	Access to approval/entry queue. Fieldglass is functional	Manual collection of times for future entry/back-pay
Research	< 1 week	Students/Faculty	Key personnel, access to research space, functional computers, access to data	Conduct at off-site location

Information Technology

In the event of a declared emergency at the University of Kentucky, the College of Nursing has key information technology systems that would need to be restored to regain functionality. Below are those key systems, and owners of those systems.

1. **Microsoft One-Drive:** Significant data is stored on Microsoft One-Drive. In the event of an emergency, College of Nursing Information Technology (CONIT) would rely on Campus IT to work with Microsoft to restore this infrastructure. CONIT does not have authority to login to this infrastructure to assist in a restore process of any type. CONIT would rely on Campus IT to restore One-Drive cloud-based data to our end users.
2. **UKHC Shares:** UK Shares is a DFS share located in the data center of the Hospital. CONIT has no ability to enter the UKHC data center and does not have authority to login to this infrastructure to assist in a restore process of any type. CONIT would rely on UKHC IT to restore data to this DFS infrastructure.
3. **Server Infrastructure:** The CONIT has 1 virtual server - PRDCNSYSADSQL01. This is a virtual server and is has a VDMK backup being a virtual server. This server is located in the data center of the Hospital. CONIT has no ability to enter the UKHC data center and does not have authority to login to this infrastructure to assist in a restore process of any type. CONIT would rely on UKHC IT to restore data to the PRDCNSYSADSQL01 server.
4. **Local Operating Systems:** Any impact to local operating systems located on CON computers would be restored by CONIT staff.
5. **Network Operation:** The College of Nursing's network infrastructure is located on every floor of the college within a locked closet that CONIT has no access to. The CONIT group would rely upon the Campus Network group to restore network functionality to its building. CONIT is not familiar with fiber paths that connect the network back to the distribution and core levels of the

University Network. CONIT does not have the Cisco enable passwords to perform any troubleshooting on Cisco network gear.

Software Applications

To facilitate recovery, this Business Continuity Plan defines procedures for restoring both the organizational resources (personnel, space, equipment, etc.) and information technology supporting our operations.

Application	Function	Support Contact
SAP / myUK / Windows OS	Enterprise Services / Financial Reporting	CONIT / UKIT
Fieldglass	Payroll	University Financial Services
Canvas	Teaching	Jesse Stallsworth / UKIT

Vital Records, Forms, and Documents

The following worksheet lists the vital records, forms and documents that are required by the organization for their operation, including where they are, how they are backed up and how to access.

Record	Description	Format	Storage Location	Point of Contact
Academic records	Grades/Assignments	Electronic	Canvas	Corey Moore / Jesse Stallsworth
Research	Research Documents	Paper/Electronic	Paper – 5 th Floor / UKHC Shares	Gia Mudd
Student contact list	Database	Electronic	SAP	Corey Moore
Staff/Faculty contact list	Documents	Electronic	UKHC Shares	Cindy Butterfield / Todd Stoltzfus
Business Office	Documents / Report	Electronic	UKHC Shares	Todd Stoltzfus

Relocation Strategy

If a catastrophic event causes loss of facilities, this section defines a College Operations Center (COC) for key staff to implement the continuity plan and discuss emergency issues, locations for a few short-term staff emergency meeting sites in the event of a building evacuation, and potential alternate locations to work from if the building were unusable for an extended period.

- Alternate In-Person Location #1: 5th Floor MDS Building
- Alternate In-Person Location #2: Rankin Health Education Building (starting 2027)
- Virtual Location: Individual faculty and staff homes (Zoom/TEAMS)

College Continuity Emergency Checklist

The checklist represents specific tasks assigned to the Continuity Team during an emergency. These are in addition to the usual responsibilities of the individual. The College Continuity Planner is responsible to ensure the listed actions are assigned and completed.

Task	Assigned	Completed
Receive notification of emergency.	Todd Stoltzfus	
If necessary, contact UK Police for emergency assistance (Fire, Police, EMS)	Jason Harris	
If evacuation is required, direct staff to Emergency Meeting Site	Jason Harris	
Notify Department Management, Continuity Team and Emergency Management	Jason Harris	
Notify campus police (911) and/or Facilities Work Order Center for immediate assistance	Jason Harris	
Direct and assist emergency personnel as required. Identify a person who will know the building to work emergency services, EHS and Facilities.	Todd Stoltzfus / Jason Harris	
Retrieve Department Business Continuity Plan by using MyFiles, hardcopy, flash drive,	Todd Stoltzfus	
Activate the College Business Continuity Plan.	Todd Stoltzfus	
Determine if a College Operations Center (COC) or conference call activation is required.	Todd Stoltzfus	
Assess the estimated length of time of the outage, and report the assessment to College Management, Continuity Team and Incident Commander at the University	Jason Harris	
Review the scope of the problem, noting areas affected, probable duration, location to resume operations, number of users involved, plan for recovery, staff requirements, and staff availability.	Todd Stoltzfus / Jason Harris	
Ensure that safety measures are put into effect.	Todd Stoltzfus	
Provide Situation Reports and updates to Emergency Management	Todd Stoltzfus / Jason Harris	
Prepare Incident Action Plans to facilitate Operations and shift turnovers.	Todd Stoltzfus	
Initiate staff notification using Contact Lists or other systems. Use Call Trees to contact critical employees.	Todd Stoltzfus	
Initiate external communications for applicable external contacts such as students, customers, vendors, or other third party providers.	Corey Moore / Jason Harris	
Take appropriate preventive measures, such as covering items to protect equipment that will not be relocated and secure critical files and data.	Jason Harris / CONIT	
Consider canceling or postponing events, meetings, and/or other activities.	Dean Mainous	

Task	Assigned	Completed
Review policies for sending employees home.	Dean Mainous	
Review and assess the damage to the facility. List all departmental equipment and resources affected and the extent of the damage.	Todd Stoltzfus / Jason Harris	
Assemble vital files, records, databases, critical equipment and supplies required for re-establishing and performing essential functions at alternate work location.	Todd Stoltzfus / Jason Harris	
Notify other departments and customers that operations have shifted to alternate work location.	Todd Stoltzfus	
Determine which essential functions have been affected and prioritize for restoration.	Todd Stoltzfus / Jason Harris	
Test telephone, fax, e-mail, radio and other communications.	Jason Harris	
Ensure all critical equipment, critical software and vital files, records and databases are available at alternate facility location.	Jason Harris	
Work with University EOC to make hotel and dining accommodations for critical staff	Kevin Garland	
Evaluate transportation needs.	Todd Stoltzfus / Jason Harris	
Contact students to inform them of any process or location changes.	Corey Moore	
Set up counseling for employees if needed.	Lee Ann Walmsley	
Obtain the contact number and status of employees for family matters that may call in.	Cynthia Fentress	
Coordinate the return of processing to the usual functional area, or to a new site.	Todd Stoltzfus / Jason Harris	
Survey condition of building and determine feasibility of returning to offices when emergency subsides.	Todd Stoltzfus / Jason Harris	
Develop long term recovery plans.	Todd Stoltzfus / Jason Harris	

Contact List

In the event of an emergency, ensure all those listed below are contacted:

- Faculty – Associate Deans responsible for notifying faculty and staff in their area.
- Staff – Associate Deans responsible for notifying faculty and staff in their area.
- Part Time Faculty – Associate Deans
- Students – Corey Moore

Plan location

- Who reviewed this plan: Business Continuity Team
- When last reviewed: 2025
- Frequency of updates and by whom: Annually by the Business Continuity Team
- Where will this plan live? UK CON Finance Drive and hard copy with CONIT and Asst. Dean of Administration and Finance

Information Technology Basics

- EMAIL consysaid@gmail.com and state in the email what is wrong with your computer. If it is an emergency please type “emergency” in the subject of the email. (This is the preferred method of opening a help desk ticket.)

Emailing consysaid@gmail.com will provide you the fastest service for all issues with your computer.

If you are unsure if CONIT group supports your issue/question simply email us at consysaid@gmail.com and we will assist in providing you information on how to resolve your issue.

- CONIT support is available 8:30 a.m. – 4:30 p.m. Monday thru Friday
 - For support outside of the 8:30 a.m. – 4:30 p.m. support hours you can call 859-218-4357 for general support or call 859-323-8586 for Healthcare related application issues such as AEHR/EPIC/SCM.
 - For issues with facilities email confacility@gmail.com CONIT acts as a liaison with the facilities group. The CONIT group does not perform the actual work to repair any facility issue.
 - UKHC help desk 323-8586
 - Campus Help Desk 218-4357
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Information Security Guidelines

Overview: The University of Kentucky College of Nursing follows the same information security policy as UK HealthCare (UKHC) due to the sensitive nature of data utilized in a Healthcare environment. UK HealthCare has a robust information security compliance program aimed at ensuring our information security measures are aligned with the required standards, laws, and regulations. This proactive approach to information security compliance is crucial to safeguarding UK HealthCare's Protected Data (AR10:7). Failure to meet these standards can lead to severe consequences, including breaches, financial penalties, reputational damage, heightened risks, and legal complications. Information security compliance helps identify and address potential security vulnerabilities and risks. By following established standards and regulations, organizations can reduce the likelihood of security breaches, data leaks and cyberattacks. *(Information taken from <https://its.uky.edu/our-teams/enterprise-cybersecurity/healthcare-information-security-compliance>)*

Regulations: UK HealthCare is subject to several specific information security regulations and laws, including, but not limited to, Health Insurance Portability and Accountability Act (HIPAA), Family Educational Rights and Privacy Act (FERPA), Gramm-Leach-Bliley Act (GLBA), Kentucky's Data Security Law and House Bill 5, and the Payment Card Industry Data Security Standard (PCI DSS). Adhering to these regulations, laws, and standards not only prevents legal consequences but also builds trust with our students, employees, and community partners. *(Information taken from <https://its.uky.edu/our-teams/enterprise-cybersecurity/healthcare-information-security-compliance>)*

Importance: Demonstrating information security compliance with standards can enhance UK HealthCare's reputation. It shows that we take data protection seriously and are committed to safeguarding the information entrusted to us by our patients, employees, community partners and students. While implementing and maintaining information security compliance measures might involve initial costs, they can save UK HealthCare money overall. The cost of dealing with an information security breach—such as legal fees, data recovery, fines, and reputation repair—can be significantly higher than investing in preventive measures. *(Information taken from <https://its.uky.edu/our-teams/enterprise-cybersecurity/healthcare-information-security-compliance>)*

College of Nursing specific policy: The College of Nursing houses all of its data within 3 sources:

1. **Local computer hard drives:** Laptop and desktop computers. Laptop hard drives are encrypted as they are mobile units and at higher risk of data theft. Laptop bitlocker passcodes are required for any tampering of drive or behavior the application views as threatening. Both desktops and laptops are also protected by end user logins, and applied group policies that protect data. Data access to infrastructure located with UKHC environment requires the use of VPN application.
2. **UKHC shares:** UKHC shares data is internally housed server data that reside on DFS shares. The data resides in the UKHC protected data center, and server shares are protected by using NTFS permissions. End users must request access to these data shares by opening a ticket with the CONIT group using ticket tracking software SysAid (Consysaid@gmail.com). Once the request is made the CONIT engineer group will verify with the requestors manager or a higher level of management depending upon what share access is requested. When an employee moves or leaves the University, and data access to any of these shares located on UKHC shares needs to be revoked it is up to the manager or higher level of management to inform the CONIT group by

opening a SysAid ticket that the data access needs to be removed for the person that is moving or leaving the University.

3. **Microsoft One-Drive:** Microsoft One-Drive data is housed in the Microsoft cloud and resides on Microsoft Server infrastructure. Microsoft One-Drive is automatically created when UKHC or Campus IT information security group creates and new employee linkblue within Microsoft Active Directory. End users that are utilizing Microsoft One-Drive can grant other linkblue user(s) access to their One-Drive data. It is the responsibility of the employee using the One-Drive data to add, or change, permissions to their data when an employee has moved or is leaving the University. If an end user needs assistance with setting permissions within One-Drive the CONIT will “show” the end user how to grant access to others, and also explains to the end user the above information regarding the 3 location we utilize for information storage.

University of Kentucky Administrative Regulation 10:7 (Security of Data) Keypoints:

1. **All users** are responsible for protecting the confidentiality, integrity, and availability of data from unauthorized generation, access, modification, disclosure, transmission, or destruction.
2. This regulation applies to all users of technology resources at or through the University, regardless of user affiliation or relation with the University, and irrespective of where the resources are located or accessed.
3. “Users” means anyone who uses a university technology resource

Administrative Regulation 10:7 (Full Regulation) Available at
https://regs.uky.edu/sites/default/files/2023-07/AR10-7_2018_FINAL_0.pdf

Encryption Security Guidelines

With the anticipated increase in use of electronic devices including portable devices and drives, as well as web-based survey tools, data security is of paramount importance particularly to protect against cybersecurity intrusions. The wide range of diversity in studies, methods, and electronic data devices means that technical engineers need to evaluate confidentiality and data security when electronic data is collected and/or stored. This guideline applies to all data handling activities involving electronic data that are participant-identified and that include information of a personal or health nature.

Within the College of Nursing, all data storage drives reside on encrypted platforms that offer strict windows applied security (NTSF permissions) as well as the ability to restore lost data. The primary storage location of data should be on UKHC shares or Microsoft One-Drive. Storing data on the local hard drive of computer is not recommended. Storage on local computer hard drives do not allow restoration of lost or corrupt files. All CON-provided laptops that reside on the MC-Domain are encrypted prior to distribution to faculty or staff. Below is a set of basic definitions and process and procedures that all faculty and staff should abide by.

Data Security Guidance

I. Data security guidance for faculty and staff who collect, use and store electronic data:

1. The recommended electronic devices for entering and storing human subjects' data are secure servers or stand-alone PCs that have encryption software for all PHI or other identifying data.
 - a. Stand-alone PCs can be used for data storage of de-identified data without encryption, but with password protections over the use of the PC.
 - b. Server-based PHI or other identified human subjects data should be behind a firewall and be encrypted.
 - c. Anonymous data or de-identified data that cannot be tracked back to a person, using cue information in the data set matched to other data sources, can be stored on servers without encryption, but still would require authorized password access.
2. Laptop data collection devices. Laptops may be issued by sponsors for specialized projects. These laptops are likely to have a high degree of security built in. However, sponsor-provided laptop devices should meet the same criteria as stated below. Laptops can be approved for data collection of human subject data when the following are provided:
 - a. The device uses software that encrypts all personal health information or other identifying information.
 - b. The data are formatted such that PHI or other identifying data are in separate files or tables from any clinical or research information about the persons.
 - c. All files are password protected in addition to the laptop having a password.
 - d. Laptops can be used for anonymous data collection without encryption.
 - e. Laptops can be used for storing and analyzing de-identified data on human subjects.

Jump Drive / USB Drives

Jump drives are only to be used under the following conditions:

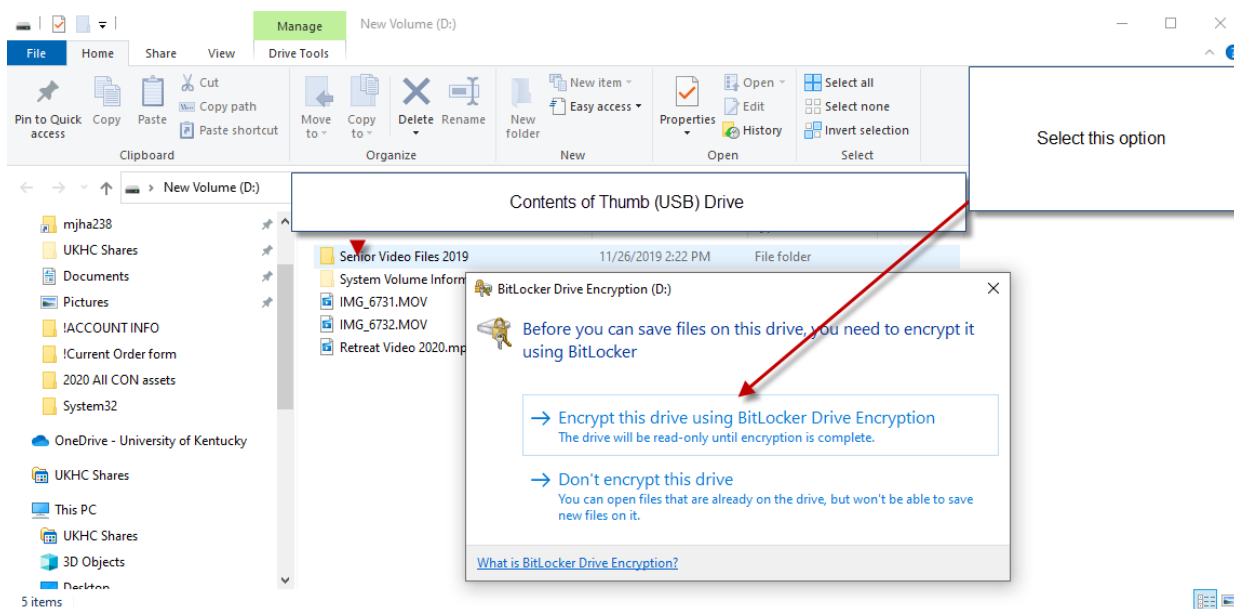
The jump drive uses files that have software to automatically encrypt all personal health information or other identifying information, or the entire jump drive is encrypted. Below is how the encryption of USB drives takes place on the MC Domain.

How to encrypt a thumb (USB drive)

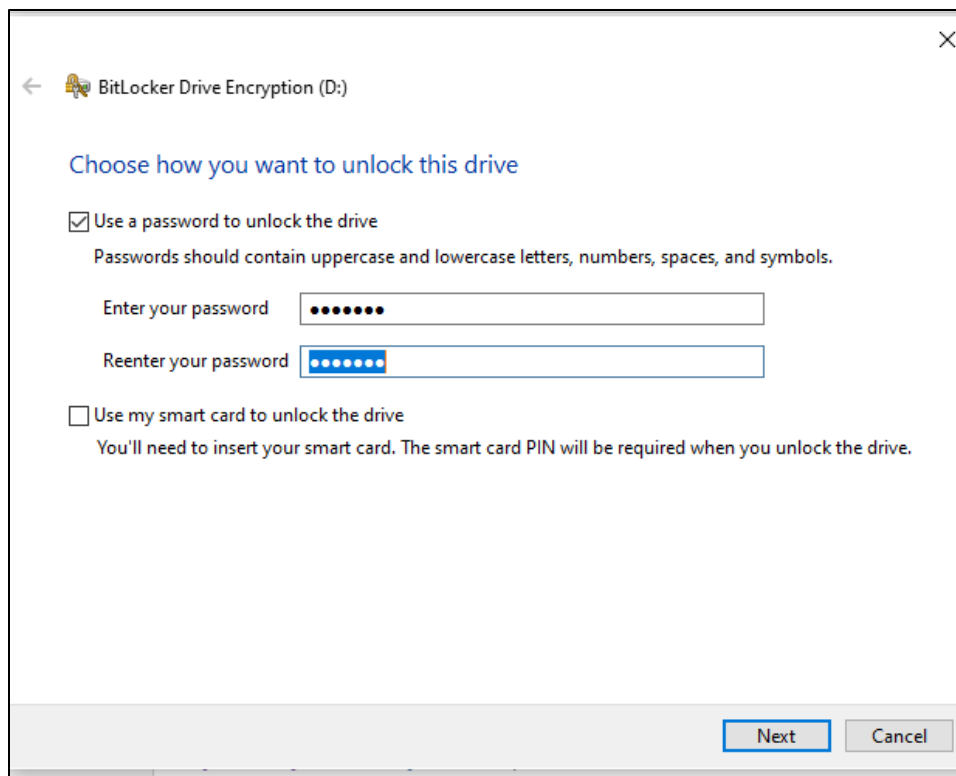


1. Insert USB drive into your computer, and you will be prompted with the below screenshot. Select the option shown in below screenshot.

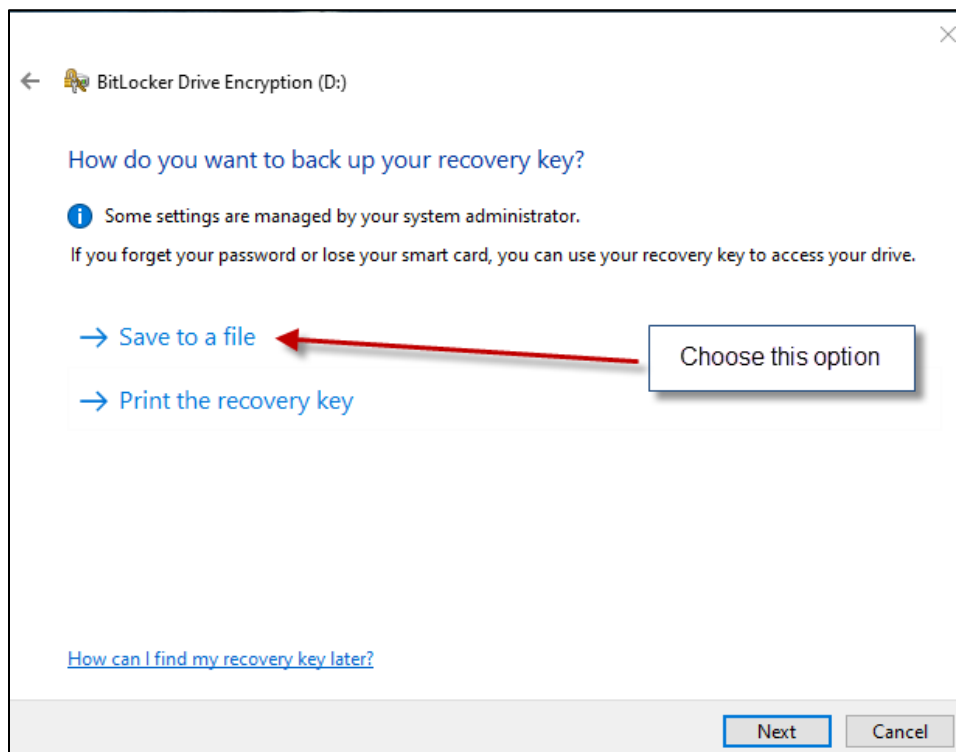
NOTE: If files are already on the drive they will be encrypted during this process and no special action is needed.



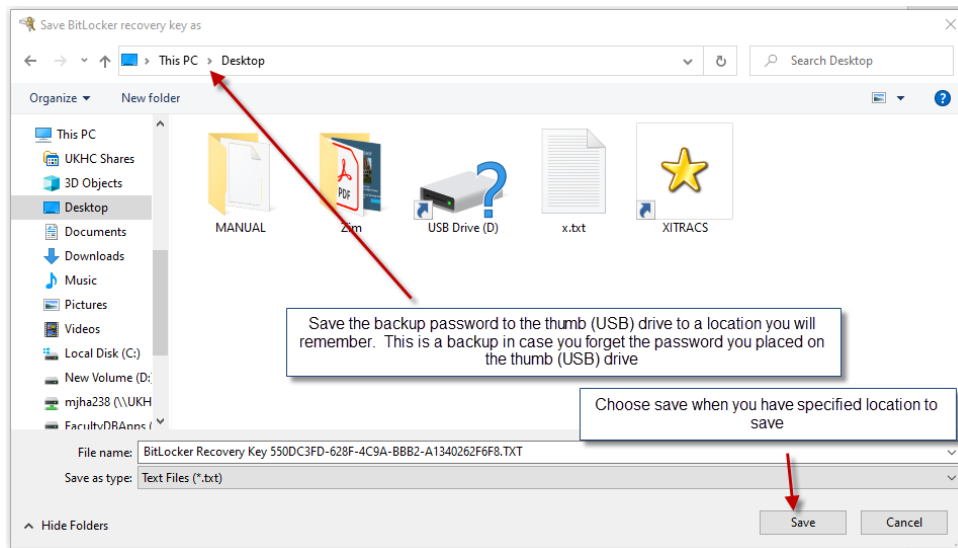
2. On the next screen that appears select "Use a password to unlock the drive" and enter a password you will remember then select "Next" as shown in the below screenshot. The password follows the same complexity rules as your linkblue login.



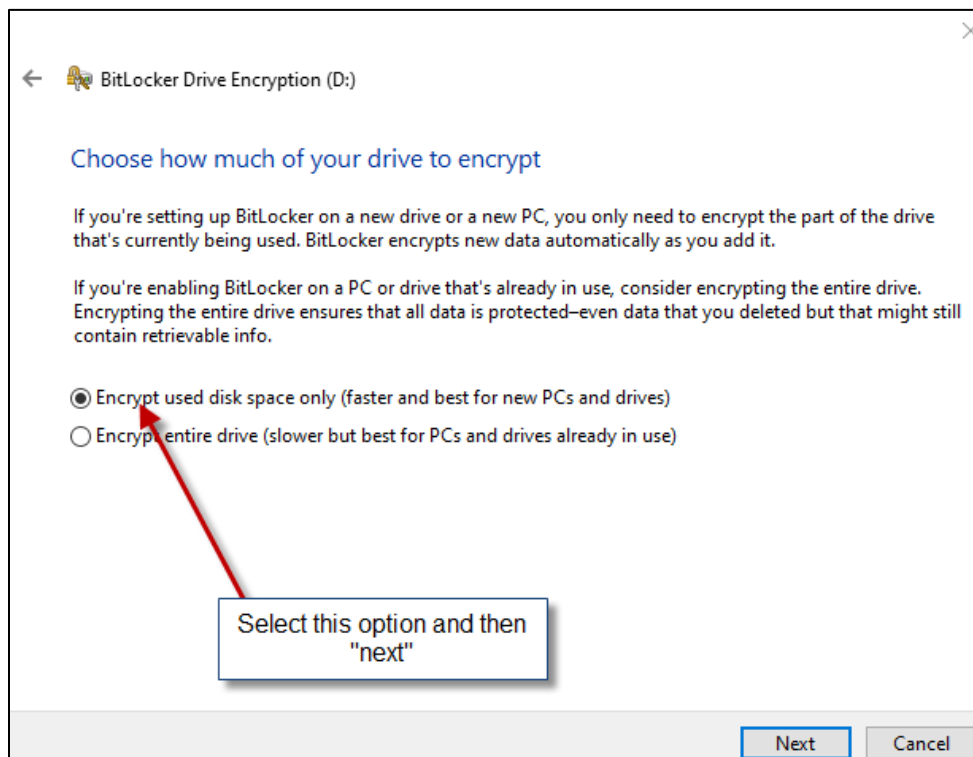
3. On the next screen that appears "How do you want to back up your recovery key" choose "Save to file" then select "Next" as shown in below screenshot.



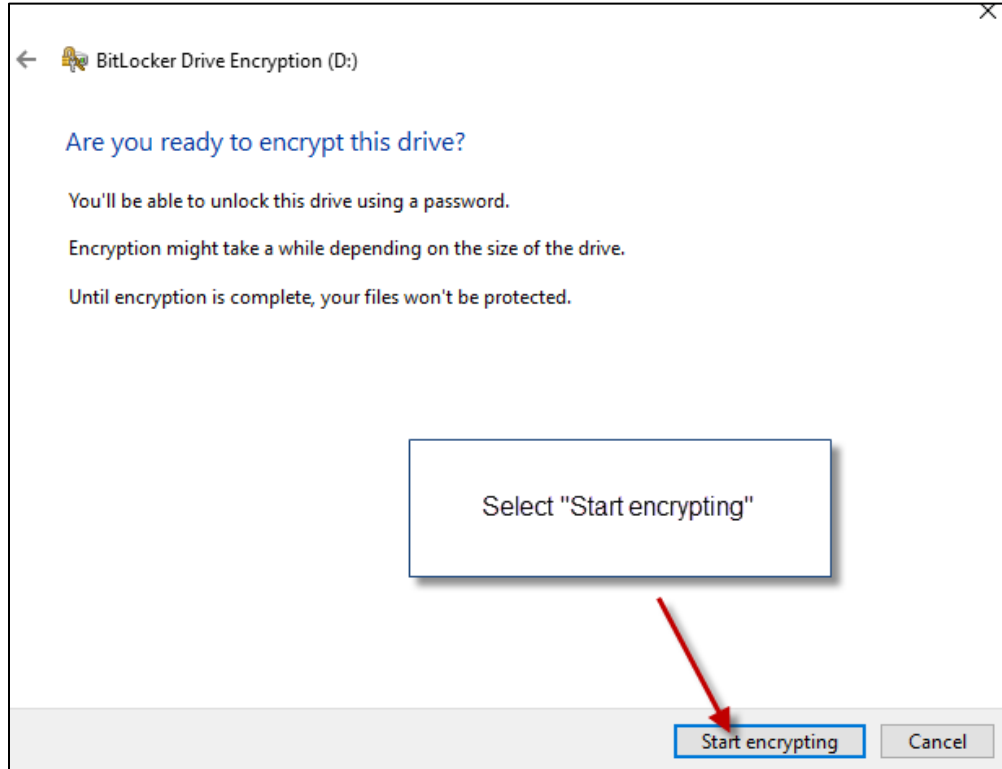
4. On the next screen that appears simply choose the location you want to save the backup recovery key as shown in below screenshot. If you forget the password you placed on the drive you will HAVE to have this file you are saving to unlock the drive. If you forget the password or if you forget the location you save the recovery key all data on the drive will be lost and impossible to recover.



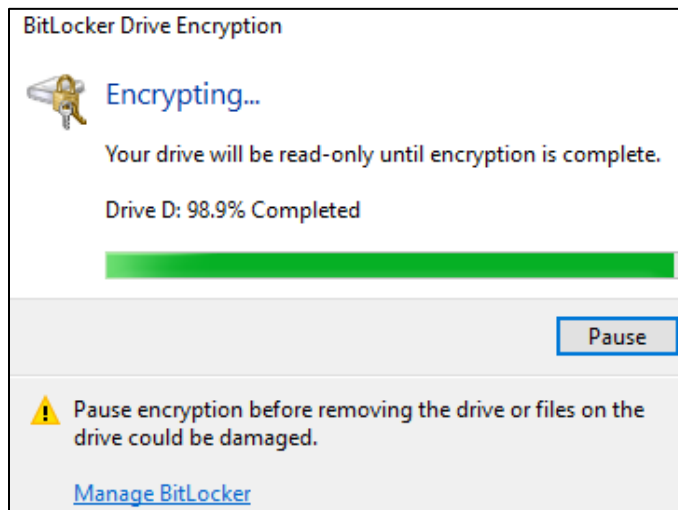
5. On the next screen that appears choose the option shown in the below screenshot and then select "Next."



6. Once you select next in step 5 the below screenshot will appear. Select "Start encrypting."



7. Once step 6 is completed the below screenshot will appear. PLEASE NOTE: DO NOT REMOVE DRIVE OR POWER OFF COMPUTER WHILE THIS IS TAKING PLACE



YOUR DRIVE IS NOW ENCRYPTED AND READY FOR USE. If you take the USB drive to any other computer you will be prompted for the password you created in step 2. Simply type in the password and the drive will be unlocked. You can then use files, save files to the USB drive, and make any changes you would like. Below is the screenshot you will receive when placing an encrypted USB drive into another computer.



All files on an encrypted thumb drive are password protected and would satisfy this policy

All files on an encrypted thumb drive are password protected. Jump drives can be used for storing and analyzing de-identified data on human subjects. If residing on the MC domain forced encryption of USB drive takes place as soon as the drive is inserted into any computer.

Web Based Data Entry

Web-based data entry:

- A. Web-based PHI or other identifying data should be into a secure web server (https) and the server should encrypt any PHI or other identifiers upon submission. The server should be behind a firewall.
- B. Web-based anonymous or de-identified data need not be encrypted. Firewall protections advised but not essential.
- C. Sponsor web-based data sets may require the use of security tokens to access files. Security tokens decrypt files and open them for investigators to do data entry. These devices are an acceptable device for web-based data entry.

PDA, Ipad, iphone, android

PDAs, I-Pad, iPhone and Android: These devices do offer encryption but the College of Nursing recommends staff and faculty do not store data on iPhone, android, and Mac product. The issue is the SCCM application that applies all security updates to Windows computers does not have the ability to apply updates to the Mac OS.

CDs and DVDs: Public Health Information (PHI) or Personal Identifiable Information (PII) or other identifying data should not be stored on CDs or DVDs unless the entire CD or DVD is encrypted. De-identified human subject data can be stored on CDs or DVDs in open format.

Emailed Public Health Information (PHI) or Personal Identifiable Information (PII) or other identifying data should not be contained in email communications that are sent outside of the UK Medical Center (MC) firewall.

Please note some policies were utilized from UKHC policy documents

Computer Inventory and Replacement Policy

Overview

The CON Office of Information Technology (CONIT) at the UK College of Nursing is the provider of computing resources for the College. All technology, including but not limited to computers/hardware, software, mobile devices, software-as-a-service, website hosting, networking, technology subscriptions and services of any kind, must be reviewed and purchased with approval from CONIT. The purpose of this policy is to define how the college acquires, replaces, inventories, and disposes of computing devices (including but not limited to desktop computers, laptops, all-in-ones, tablets, etc.) for faculty and staff use.

Objective

The policy's primary objective is to ensure computing devices are replaced in an objective, equitable, sustainable, and transparent manner. It also seeks to establish criteria by which computing devices are replaced based on the age of the device, the condition of the device, and other contributing factors.

Primary Computing Device

CONIT will only assign one primary computing device from the centralized computer inventory for each employee/faculty position.

Assignment of Primary Computing Device

Computing devices must not be swapped or re-assigned without approval from CONIT. If an employee leaves a position, the computing device(s) associated with the position must be returned to CONIT. To audit and assess the state of all computing devices, keep them secured, and ensure their timely replacement, CONIT must evaluate and document all devices and accurately track the assigned user of each device.

Replacement Cycles

Computing devices must be replaced at the end of their useful life or at a minimum every five to six years from the date of purchase (depending on the allocated budget). This is done for several reasons: to provide users with current devices, operating systems, software applications and sufficient performance to do their work, to protect the college's systems from the security vulnerabilities in older devices, and to maintain a reasonable number of device configurations that can be well-supported.

The College of Nursing Information Technology department will review the computer replacement candidates based on information that is pulled from our SCCM database tool. The devices will be replaced on a like-for-like basis meaning that if you currently have a laptop. It will be replaced with a laptop. If you currently have a desktop. It will be replaced with a desktop. **The goal we have set for computer replacement is 20% of the College's inventory will be replaced every fiscal year.**

The computing needs of faculty and staff and the following factors will determine when a computing device is included in the replacement cycle.

Factors that may be considered in computer replacement include:

1. Funding availability.
2. Performance issues/problems with the device based on computer diagnostics.
3. Functions and performance required of the device based on the assigned user's position needs.
4. Utilization of computer
5. Age and warranty year of the computing device

CONIT has authority to review and approve (or deny) computer replacement requests. Denied computer requests may be appealed to the Assistant Dean of Administration and Finance.

Please see CON's Non-Capital Asset Management policy for computer audit and tracking policy.
