AGENDA

SLU Business Manager Meeting
October 12, 2006
Medical School Lecture Hall A
9:00a.m.-10:30a.m.

1) Meeting Overview/Announcements: Linda Pizzo

2) Message from/Conversation with the Provost: Joe Weixlmann

3) Introduction of Sponsored Program’s Staff: Doug Leavell

4) University Compliance with Credit Card Acceptance Standards: Bryan Pini and Tim Kavanaugh

5) Business Process Improvement Discussion – EPAF Process: Jennifer Haegle
Meeting minutes of the Saint Louis University Business Managers held at 9:00 a.m. on Thursday, October 12, 2006 in the Medical School Lecture Hall A.

Business & Finance Staff Present:

Bryan Pini       Tom Meadows       Tawnya Musial      Paul Mueller
Lisa Zoia        Linda Pizzo       Margaret Fisher    Marsha McBride
Lee Kneibert     Sharon Gajewski  Mary Drexil        Gayle Hunt
Vicki Cassady    Bob Woodruff      Doug Leavell      Dan Miller
Loretta Edwards  Liz Ballman      Janice Crawford    Stacey Barfield
Tim Kavanaugh

Guests in attendance: Patty Taveras, Jennifer Haegele and Dr. Weixlmann.

Number of Business Managers Present: 54

Linda Pizzo welcomed everyone to the meeting and introduced guest speaker, Dr. Joseph Weixlmann, Provost.

Dr. Weixlmann’s comments
Dr. Weixlmann thanked the Business Managers for inviting him to speak and thanked them for the role they play everyday in their respective departments. He said that the role of the Business Manager’s is growing more important each passing day as new regulations are required in various areas of the University. Dr. Weixlmann stressed that the managers are the individuals implementing policies so we need to provide the policy makers with feedback. If something is not working, or if you have an idea to improve a process or policy, please bring it to the policy owner’s attention or send it to Paul Jackson. mailto:jacksonp@slu.edu Dr. Weixlmann acknowledged that there have been many changes over the past year with Banner, Travel and research programs, and we can be assured that more change will come in the future as the University constantly works to be good stewards of our dollars. Dr. Weixlmann strives to keep all policies on the web and up-to-date. A business manager asked if we could include in all policies the name of the person or office that “owns” the policy; that would allow anyone with questions or suggestions to contact the owner. Dr. Weixlmann said he would work to make that happen.

Sponsored Programs
Doug Leavell introduced his entire staff which has recently added two Grant Accountants. He reviewed each team members’ duties and added he was currently updating his Department. He should have specific assignments/responsibilities for each member assigned and posted on the web in the near future so everyone is clear on whom to contact for a particular question.
Doug Leavell, Director, Dan Miller, Coordinator, Liz Ballman, Grant Accountant, Loretta Edwards, Grant Accountant, Margie Fisher, Grant Accountant, Gayle Hunt, Grant Accountant.

Credit Card Acceptance Guidelines
Tim Kavanaugh, Assistant Treasurer for the University, gave a presentation on Credit Card Acceptance Guidelines and what every department needs to do to ensure that they are keeping credit card information secure and protected. The overall question each person should ask themselves – “Would I be comfortable if my personal credit card data was being used or stored in this manner?” If the answer is no, changes need to be made. The Treasurer’s office will be calling each department to set up times to come and review procedures. This action is required by both Visa and Mastercard and non-compliance can result in heavy fines for the University.
Focus Groups
Linda Pizzo reported that the Focus Groups for business process improvements have been selected and that emails will be going out the week of 10/16/06. Team leaders will contact group members to schedule the first meetings the first week of November.

EPAF Process Review
Jennifer Haegele reviewed the EPAF process. She stated that a process review team was being formed that would map the current state, gather data and define what we want it to be, create the plan and go live. Jennifer asked for suggestions from the managers as to what would improve the process and the following suggestions were made:

- Provide a method to track employee changes and initiations.
- Graduate Assistants – allow to extend an employment date past the current fiscal year.
- 2nd Assignments for Graduate Assistants – make this process easier.
- Reduce lead time required to process EPAF’s (assign more staff during the peak months).
- Notify an initiator when an EPAF is returned/rejected.
- Notify of pending approvals.
- Improve program logic so obvious errors don’t stop the process.
- FWS approver – have a backup person for this position.
- Provide a "Cheat Sheet" for common error messages.
- Provide dates when the EPAF was approved by each approver.

Jennifer and Patty Taveras recorded all suggestions and will include these in the EPAF process review.

The meeting ended at 10:35 a.m.

Minutes respectfully submitted by Mary Drexl.
Electronic Personnel Action Form Process Review

Business Managers Meeting
10/12/2006

Facilitated by: Jennifer Haegele, Director, Human Resource Information Systems
Patty Taveras, Human Resource Information Systems Specialist
Why do a process review?

- EPAF processes “live” for over 18 months
  - Emphasis on continuous process improvement
- Upgrade to Banner 7.3 provides new potential for EPAF processing
- Customer feedback indicates there are potential areas to improve
- Internal processes reveal there are potential areas for improvement
- More efficient, effective processes ultimately benefit the whole University.
Process Review Steps

- Form Process Review Team
  - Working team members
  - Subject Matter Experts ("SMEs")
  - Key stakeholders and stakeholders
- Map current state, gather data
- Define improved state
- Identify gaps between current and future state
- Create Plan
- Implement and Go-live
EPAF Processing: Current State

- EPAF processing through Internet Native Banner (INB)
  - Originator
  - Approver
  - FYI, Application
- Limited status reporting (INB forms, one report used internally in HRIS)
- Employee record changes and initiation flow
- New hire process flow chart
Employee Record Changes and Initiation

Department decides to make a change impacting an employee’s record (new hire, rehire, pay change, etc.)

Rehire/ New hire action?

Yes

Department directs employee to complete Information form, Tax and I-9 forms in Human Resources.

No

Department originator directs employee to complete Information form, Tax and I-9 forms in Human Resources.

HRIS Office activates new employee in Banner system and enters employee’s personal information (PPAIDEN).

Part or Full time regular staff?

Yes

The HRIS Office enters new hire/ rehire part time or full time regular employees in the Banner system and creates their job.

No

The HRIS Office enters new hire/ rehire part time or full time regular employees in the Banner system and creates their job.

Department originator initiates an Electronic Personnel Action Form (EPAF) in INB, indicating the changes to be made to the employee’s record. (Banner form NOAEPAF.)

Department originator initiates an Electronic Personnel Action Form (EPAF) in INB, indicating the changes to be made to the employee’s record. (Banner form NOAEPAF.)

Department originator submits the completed EPAF for approval.

Level 1 (Dept./School) and 2 (Provost/ VP/HSC Finance) approvers log in to INB and review pending EPAF actions.

EPAF approved?

Yes

EPAF action is applied to INB by HRIS or Payroll department.

No

EPAF action is applied to INB by HRIS or Payroll department.

EPAF returned to originator for correction and changes are made to the EPAF in INB.

Changes to EPAF needed?

Yes

EPAF action is not approved. No changes will be applied to INB.

No

EPAF action is not approved. No changes will be applied to INB.
Employee hired by department.

Employee completes paperwork (Personal Information, I-9, and tax forms) in Human Resources.

Personal Information is entered in Banner and a Banner ID number is created.

Employee obtains SLU ID Badge and/or parking if applicable.

Completed hiring proposal matched to employee paperwork and entered in Banner.

Staff hire?

Yes

Staff hire? No

Department uses Banner ID to originate and submit an EPAF. (Faculty, students, FWS, grad. assts., housestaff)

EPAF reviewed and approved by Financial Aid Office

EPAF reviewed and approved by Finance/Provost level approver

EPAF reviewed and approved by Department level approver

Employee PIN Generated

EPAF matched to employee paperwork and Applied by Human Resources

Time sheet or Time Records now available to Department and Staff

Time approver reviews and approves time entered.

Automated Processes run (1-2 nights): Email Account and username established. People Finder populated.

Hours entered (bi-weekly paid) or exception time submitted (monthly) by employee, or Department.

Employee Paid!

NOTE: Forms may be printed from the website, but I-9 must be completed while in Human Resources: http://www.slu.edu/services/HR/hrforms.html
Let’s get started . . .

- Survey says . . . What do you think about EPAFs and related processes?
- What works well in the process?
- What doesn’t work well in the process?
- Where are the “show stoppers”?
- What suggestions do you have?
Subject Matter Experts (SMEs) help ensure the process is redesigned with the user in mind.

This role may include:

- Answering a survey
- Providing feedback during the process review
  - focus group session, e-mail solicitation, or other methods
- Participation in testing of solutions

Time commitment varies. Testing would probably take the most time – 1-2 hours per week for a limited number of weeks.
Credit Card Acceptance Guidelines
Is this Really Important?

- In 2004, illegal credit card purchases totaled $778 million, according to *Nilson Report*.
- In a three month period during 2005, the following universities reported that computers with credit card information had been compromised:
  - Georgia Southern University
  - Florida International University
  - Michigan State University
  - Stanford University
  - Tufts University
  - University of Iowa
  - University of Northern Iowa
Reasons to meet Industry Compliance Standards

- Visa / MC may assess heavy fines for noncompliance or breaches of security
- Visa / MC may revoke the University’s ability to accept their branded cards
- Possibility of alienating customers, donors, friends of the University
- Embarrassing news headlines
Visa / MasterCard Compliance

- Payment Card Industry (PCI) Data Security Standards
  - Developed by MasterCard and Visa in 2005 to mandate credit card security controls
  - Apply to all members, merchants, and service providers that store, process or transmit cardholder data
  - Apply to “system components”

- PCI Requirements
  - Build and Maintain a Secure Network
  - Protect Cardholder Data
  - Maintain a Vulnerability Management Program
  - Implement Strong Access Control Measures
  - Regularly Monitor and Test Networks
  - Maintain an Information Security Policy
What is the University Doing?

- Implementing comprehensive procedures regarding the credit card environment
- Centralizing the administration of all credit card processes
- Working with third-party providers to ensure our physical data security and IT security meets or exceeds the appropriate standards
- Performing annual IT and physical risk assessments in an effort to identify threats and weaknesses
- Continuing to work with our partners to look for solutions that will increase the security surrounding sensitive credit card data
Saint Louis University Compliance Guidelines

- Protect Cardholder Data
  - Keep cardholder information storage at a minimum
    - Visa requires original receipt or a copy be retained for 12 months by merchant
    - MasterCard requires merchants to retain a receipt copy for 18 months
  - Never store the 3 digit card-validation code (CVC) located on the back of the card
  - Render sensitive cardholder data unreadable wherever it is stored
  - Limit access to cardholder data to individuals whose job requires it
  - Restrict physical access to data
University Merchant Card Services

- Provider – Commerce Bank
  - Credit card swipe terminals
    - Trans 330
    - Omni 3750
  - Your Pay internet
    - University representative enters credit card information through web-site and completes transaction on behalf of customer
  - Your Pay Connect internet
    - Customer is transferred to web-site outside of University and enters and completes transaction independently
- Third Party applications
  - Kintera
  - On-line Application Services
Ask the following Questions -

- Is sensitive cardholder data disposed of properly when no longer needed?
- Do we send unencrypted cardholder data via email or other unprotected method?
- Is cardholder data securely stored if retained on-site?
- If not retained, is the data destroyed and properly disposed?
- Do we revoke access to sensitive data and passwords when an employee leaves the university?
- Do we store any sensitive cardholder data on our computers?
- If we receive faxed or mailed cardholder information, is access restricted or the fax secured?
- Within my department, have I reinforced the importance of maintaining the security of sensitive cardholder data?
- Would I be comfortable if my individual credit card data was being used and stored by my department?
What’s Next?

- The Treasurer’s Office will be responsible for overseeing the University credit card environment
  - Administering the University’s credit card procedures
  - Approving all departmental requests regarding credit card acceptance
  - Maintaining information regarding each department’s individual credit card environment
  - Meeting with the credit card processors in each department to discuss the procedures
  - Perform annual reviews with each department to assess and document the current environment
What May you Expect?

- The industry standards surrounding the handling of credit card data will continue to evolve and become more stringent.
- The incidents of fraud will likely continue.
- The University will continue to direct resources towards all types of data security.
- How your department processes credit cards may change as the industry standards change.
Follow-Up Questions

- Please contact Tim Kavanaugh at 314-977-2890 in the Treasurer’s Office with questions regarding the following credit card related items:
  - Initiating Department credit card acceptance
  - Accepting credit cards for individual events - when department does not currently accept credit cards
  - Data retention and removal
  - Data transmission
  - Any suspected or confirmed breach of security
  - Any related item that you are unsure of as to the answer or proper procedure

- If you have questions related to your credit card terminal or web-based processing, you may contact Commerce Bank Customer Support at 800-828-1629