Introduction to Business & Finance Administrator’s Guide

Thank you for downloading the new UNMC Administrator’s Guide. The Administrator’s Guide is your one stop for key information and resources to help you do your job at the highest level while ensuring financial integrity.

Currently, the Guide includes chapters with information in the following areas:

- Mission, Organization Chart and Other Information
- Financial Accounting
- University Budget
- Strategic Planning
- Need to Know Systems
- Procurement
- Travel
- Sponsored Programs
- Compliance
- Hiring Process for Staff Positions
- Environmental Health and Safety

The UNMC Administrator’s Guide is a living document which will be continuously reviewed and updated with the latest information. We hope this Guide will serve as a valuable tool to you and your staff.

If you have any questions or suggestions, please contact Rob Burbach in the Office of the Controller at rob.burbach@unmc.edu or 402.559.5836.
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CHAPTER 1
Mission, Organizational Chart and Other Information

Basic information regarding the mission and structure of UNMC

CHAPTER 1: Section 1

Vision, Mission and Values

Vision
The partnership of UNMC and Nebraska Medicine will be a world-renowned health sciences center that:
• Delivers state-of-the-art healthcare.
• Prepares the best-educated health professionals and scientists.
• Ranks among the leading research centers.
• Advances our historic commitment to community health.
• Embraces the richness of diversity to build unity.

Mission
WE ARE NEBRASKA MEDICINE & UNMC
Our mission is to lead the world in transforming lives to create a healthy future for all individuals and communities through premier educational programs, innovative research and extraordinary patient care.

Values
ITEACH
Innovation: Search for a better way. Seek and implement ideas and approaches that can change the way the world discovers, teachers and heals. Drive transformational change.

Teamwork: Respect diversity and one another. Communicate effectively and listen well. Be approachable and courteous. There are no limits to what we can achieve when we work together.

Excellence: Strive for the highest standards of safety and quality in all that you do. Work to achieve exceptional results.

Accountability: Commit. Take ownership. Be resilient, transparent and honest. Always do the right thing and continuously learn.

Courage: Make the tough decisions. Have no fear of failure in the pursuit of excellence. Admit mistakes and learn from them.

Healing: Show the empathy you feel. Be selfless in caring for patients, one another and the community.
Campus Profile

UNMC Omaha – Main Campus
The University of Nebraska Medical Center’s main campus is in Omaha, located at 42nd and Dewey Streets. Student enrollment includes nearly 3,700 students.

Nearly 10,000 students, employees, staff and faculty are located in the area of 10 square blocks that make up the campus. This area includes classrooms, labs, outpatient care, the Lied Transplant Center, Munroe-Meyer Institute and other university facilities, including the new Stanley M. Truhlsen Eye Institute and the future site of the Fred & Pamela Buffett Cancer Institute. Two hospital towers – University Tower and Clarkson Tower – also are located on campus. They are operated by our primary clinical partner, Nebraska Medicine.

UNMC Lincoln
The Lincoln division of the UNMC College of Nursing is located on the University of Nebraska-Lincoln Main Campus, in Commerce Court. The College of Dentistry is located on East Campus.

UNMC Kearney
The College of Allied Health Professions and the College of Nursing Division are housed in the Health Science Education Complex on the University of Nebraska at Kearney (UNK) campus. The College of Nursing offers undergraduate, graduate, and accelerated nursing programs and the College of Allied Health Professions offers Physician Assistant, Physical Therapy, Medical Laboratory Science, Radiography, Diagnostic Medical Imaging and Magnetic Resonance Imaging in this state of the art, technology rich facility.

UNMC Scottsbluff/Gering
The University of Nebraska Medical Center College of Nursing-West Nebraska Division is located in the Harms Technology Center in Scottsbluff. The West Nebraska Division was opened in the fall of 1987 to prepare nurses for a Bachelor of Science in Nursing Degree and a Master of Science in Nursing Degree.

UNMC Norfolk
The Norfolk division of the UNMC College of Nursing is located on the Northeast Community College campus. The J. Paul and Eleanor McIntosh College of Nursing opened in August 2010 and offers a Bachelor of Science in Nursing Degree and graduate nursing programs.

Panhandle Learning Center
In August 2003, the College of Dentistry expanded its dental hygiene program to western Nebraska. Students attend classes at Community Action Partnership of Western Nebraska in Gering and use distance learning technology to access Lincoln classes.
CHAPTER 1: Section 4

Board of Regents

UNMC is one of four higher learning institutions in the NU system. As a state-controlled, public university, the university operates under the state constitution, state statutes, the system’s elected Board of Regents (BoR) and the NU Central Administration. The state constitution dictates that the BoR is UNMC’s governing authority. The state statutes govern UNMC’s role and mission (RSS 85-947). The Coordinating Committee for Postsecondary Education (CCPE) also influences UNMC as it is responsible for promoting policies and implementing plans that guide Nebraska’s higher education system. Annual progress reports from the CCPE, regular meetings with UNMC administrators and strategic updates keep the BoR well informed about UNMC’s financial and academic operations.

The BoR receives the Higher Education Progress Report yearly from the CCPE, an independent agency established by the state constitution. The CCPE’s planning document, Comprehensive Statewide Plan for Postsecondary Education, defines the roles and missions for each state university. As part of its oversight, the CCPE reviews, monitors, and approves new and existing instructional programs and all higher education appropriation requests, tuition levels, admissions requirements and capital construction projects. Comparative data from the higher education institutions that the CCPE oversees are compiled into the Higher Education Progress Report. The report outlines a multitude of information about UNMC, including enrollment, demographics, budgets, retention, graduation rates; highlights key points; and recommends areas of opportunity. The CCPE submits the report annually to the Nebraska Legislature and to the BoR.

Regular monthly meetings inform the BoR of UNMC’s activities and progress. Four executive committees provide information regarding academic affairs, audits and business affairs directly from UNMC to the BoR. The BoR monitors performance indicators in education, teaching, scholarly, economic, outreach, and value that stem from the NU system’s Strategic Planning Framework and align with UNMC’s mission. Accountability Measures established in the Strategic Framework outline topics, frequency and reporting channels that provide a system for the BoR to monitor UNMC.

Progress or decline in the measures over time are tracked and published as the University of Nebraska Strategic Dashboard Indicators. The dashboard provides an “at a glance” view of where the Nebraska universities fall below target goals and need improvement.

The BoR, via its legal review and approval/disapproval authority for academic programs, financial management and business affairs meets is legal and fiduciary responsibilities for UNMC.

The BoR, the NU Central Administration and UNMC have defined avenues to engage internal constituents in UNMC’s governance. Policies and Bylaws shape these interactions.

NU’s BoR is the governing authority for the university as dictated by the state constitution. Nebraska’s statutes define the BoR powers and the publicly available bylaws and policies outline its structure and management. The BoR is involved in UNMC governance, from setting strategic direction to developing budgets and approving all campus changes and additions. Members of UNMC’s administration participate in regular meetings and briefings for the BoR. The UNMC Student Body President serves on the board.

Many BoR policies include all constituents in the governing role. Specific policies in the bylaws define the ways constituents in the NU system can participate in the BoR governance. Some policies include:

- The Right of Student Members to Indicate Positions. Nonvoting student members of the BoR have the opportunity to formally state their positions on various matters;
- The Right to a Public Hearing. Any individual or group of individuals of the University are granted, upon petition, a public hearing where the matters of the petition are discussed; and
- Presidential Search Advisory Committee(s). The BoR will consider university administration, faculty, students, the NU Foundation and the general public as possible members of the search committee when the institution is seeking a new president.

The NU’s Central Administration also guides UNMC’s decision making and governance through shared information, policies and resources to improve operations, educational programs and student retention. UNMC’s chancellor is part of the Central Administration’s President’s Council and UNMC’s Vice Chancellor for Academic Affairs is part of the Central Administration’s Council of Academic Officers. UNMC’s Vice Chancellor for Business and Finance is part of the Central Administration’s Council of Business Officers.

UNMC embraces a shared governance model, as the BoR provides that “the immediate government of each college shall be by its own faculty.” The Faculty Senate and Student Senate represent the entire constituency of UNMC. The senates provide forums to develop ideas, address concerns and communicate to campus leadership. The faculty and staff who sit on the Chancellor’s Council represent all units of UNMC and approve strategic plans, mission statements and other guiding principles.
Academic Calendar

University of Nebraska Medical Center
2019-2020 Academic Calendar

Dates and events listed are for the Graduate Studies and for the Colleges of Dentistry, Medicine, Nursing, Pharmacy, Allied Health Professions and Public Health. Exceptions are noted where applicable.

FALL SEMESTER 2019

Fall 2019 Orientation Week (Contact your college for complete details.)
IPE – Interprofessional Education Orientation – Omaha ........ August 21, 2019
Orientation/Registration for ALL NEW STUDENTS .......... August 21 - 23, 2019
Medical Laboratory Science (MLS)............................. May 21, 2019
College of Medicine.................................................. August 19 - 23, 2019
Medical Nutrition PBC/M ........................................ August 20 - 21, 2019
Incoming Allied Health, Pharmacy.............................. August 21, 2019

FALL 2019 First Day of Classes................................. August 26, 2019
Pharmacy 4 ............................................................ May 6, 2019
Medical Laboratory Science (MLS)........................... May 22, 2019
Postgraduate Dental Certificate, Medicine 3, PA 3......... July 1, 2019
Medicine 4 ............................................................. July 8, 2019
Medicine 2 ............................................................. August 26, 2019
IPAP Phase II ......................................................... September 2, 2019

Students will receive email notifications on the 10th day of the term regarding their billing statement. A late fee will be assessed on any tuition and/or fees not paid in full by the due date on the billing statement.
The last day to qualify for residency is the last day of registration (6th day of the term).

Last Day to ADD/DROP Classes (MLS) ..................... May 27, 2019
Last Day to ADD/DROP Classes................................. September 1, 2019
(August 26, 2019 start date)

Last Day to WITHDRAW from Classes (MLS) .............. October 18, 2019
Last Day to WITHDRAW from Classes ...................... November 15, 2019
(August 26, 2019 start date)

Course(s) dropped between May 27, 2019 and September 1, 2019 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after September 1, 2019 and the UNMC transcript will reflect grade earned.
Course(s) dropped between October 18, 2019 and November 15, 2019 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after November 15, 2019 and the UNMC transcript will reflect grade earned.

Deadline for waiving student insurance is during the first 14 days of the semester.

Deadline for filing for December graduation ..................... October 10, 2019

Student Breaks and Holidays
Memorial Day .......................................................... May 27, 2019
Independence Day .................................................... July 4, 2019
Labor Day .............................................................. September 2, 2019

Fall Break
MITS/D/Post Bacc, Medical Nutrition PBC/M,.............. October 21-22, 2019
Clinical Perfusion 5/D
Nursing, Graduate, Public Health,.............................. October 21-22, 2019
PT 2/3, Genetic Counseling
MLS ................................................................. August 19-23, 2019
Medicine 3 ............................................................ September 21-29, 2019

Thanksgiving
PA 1, PA/D, PT 1/2, MITS/D/Post Bacc,...................... November 27-30, 2019
Medical Nutrition PBC/M, Nursing, Clinical Perfusion/D
Cytotechnology/D, Public Health, Dentistry,................. November 27-30, 2019
Dental Hygiene, MLS, Genetic Counseling
PA 2/3, PT 3 ......................................................... November 28, 2019
Medicine .............................................................. November 28-29, 2019
Pharmacy, Radiation Oncology ................................. November 28-29, 2019
Medical Family Therapy, Graduate............................ November 28-29, 2019
Last Day of Classes (including exam week) .................................................. December 20, 2019
Pharmacy 4 ............................................................................................................ December 13, 2019
Postgraduate Dental Certificate ................................................................. December 31, 2019
IPAP Phase II ........................................................................................................... January 31, 2020

Commencement
Omaha .................................................................................................................. December 20, 2019

**Special Notes:**

**Dentistry**
Dental Students National Board Exam for seniors will be administered by computer.
Dental Admissions Test will be administered by computer throughout the year.

**Medicine**
Medicine 3 will follow a 2-week clerkship schedule starting 7/1/19 through 12/20/19.

**Medicine 4 Clerkship Schedule**
July 8 – August 4 ........................................................................................................... September 30 – October 27
August 5 – September 1 ................................................................................................. October 28 – November 24
September 3 – September 29 ......................................................................................... November 25 – December 20
USMLE, Step 1 & Step 2, will be administered by computer throughout the year.

**Pharmacy – P1/2 IPPE Clerkship Schedule**
May 6 – May 24 ........................................................................................................... July 8 – July 26
May 27 – June 14 .......................................................................................................... July 29 – August 16
June 17 – July 5

**Pharmacy 4 Clerkship Schedule**
May 6 – May 31 .......................................................................................................... August 26 – September 20
June 3 – June 28 .......................................................................................................... September 23 – October 18
July 1 – July 26 ............................................................................................................. October 21 – November 15
July 29 – August 23 ....................................................................................................... November 18 – December 13

**Physician Assistant Clerkship Schedule**
July 1 – July 28 ............................................................................................................. September 23 – October 20
July 29 – August 25 ....................................................................................................... October 23 – November 17
August 26 – September 22 ........................................................................................... November 25 – December 20

**SPRING SEMESTER 2020**

Spring 2020 First Day of Classes ................................................................. January 13, 2020
Postgrad Dental Certificate ......................................................................................... January 2, 2020
PA2, Dentistry 3/4, Pharmacy 4, PT 3, ................................................................. January 6, 2020
Clinical Perfusion 6, IPAP Phase I, Medicine

**IPAP Phase II** ......................................................................................................... December 30, 2019
Students will receive email notifications on the 10th day of the term regarding their billing statement. A late fee will be assessed on any tuition and/or fees not paid in full by the due date on the billing statement.
The last day to qualify for residency is the last day of registration (6th day of the term).

**Last Day to ADD/DROP Classes** ................................................................. January 12, 2020 (January 6, 2020 start date)
**Last Day to WITHDRAW from Classes** ............................................. March 27, 2020
Course(s) dropped between January 12, 2020 and March 27, 2019 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after March 27, 2020 and will appear on the UNMC transcript and reflect grade earned.

**Last Day to ADD/DROP Classes** ................................................................. January 19, 2020 (January 13, 2020 start date)
**Last Day to WITHDRAW from Classes** ............................................. April 3, 2020
Course(s) dropped between January 19, 2020 and April 3, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after April 3, 2020 and will appear on the UNMC transcript and reflect grade earned.
Deadline for waiving student insurance is during the first 14 days of the semester.

**Deadline for filing for May graduation** ................................................. February 10, 2020
IPE – Inter-Professional Education Day Year 1 ........................................ February 12, 2020
IPE – Inter-Professional Education Day Year 2 ........................................ February 26, 2020
**Student Holidays and Breaks**

<table>
<thead>
<tr>
<th>Event</th>
<th>Dates</th>
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<tbody>
<tr>
<td>Martin Luther King Day</td>
<td>January 20, 2020</td>
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<tr>
<td>Spring Break</td>
<td>March 22 - 29, 2020</td>
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<tr>
<td>Clinical Perfusion 6</td>
<td>March 1 – 8, 2020</td>
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<tr>
<td>Medicine 1</td>
<td>March 7 - 15, 2020</td>
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<tr>
<td>Dentistry</td>
<td>March 16 - 20, 2020</td>
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<tr>
<td>Medicine 2</td>
<td>March 21 - 29, 2020</td>
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<tr>
<td>Medicine 3/4</td>
<td>March 28 - April 5, 2020</td>
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<tr>
<td>Pharmacy 4</td>
<td>March 29 - April 5, 2020</td>
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<tr>
<td>PA 2</td>
<td>March 30 - April 5, 2020</td>
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<tr>
<td><strong>Last Day of Classes</strong></td>
<td>May 8, 2020</td>
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<tr>
<td>IPAP Phase I</td>
<td>April 24, 2020</td>
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<tr>
<td>Pharmacy 4, Medicine 4, PA 2</td>
<td>May 1, 2020</td>
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<tr>
<td>Medicine 1</td>
<td>June 5, 2020</td>
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<tr>
<td>IPAP Phase II</td>
<td>June 21, 2020</td>
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<tr>
<td>Medicine 2</td>
<td>June 28, 2020</td>
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<tr>
<td>Medicine 3</td>
<td>June 30, 2020</td>
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<tr>
<td>Postgraduate Dental Certificate</td>
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<tr>
<td><strong>Commencement</strong></td>
<td>May 7, 2020</td>
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<tr>
<td>Kearney, Lincoln, Norfolk</td>
<td>May 7, 2020</td>
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<tr>
<td>Omaha, Scottsbluff</td>
<td>May 9, 2020</td>
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<tr>
<td><strong>Special Notes:</strong></td>
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<tr>
<td>Dentistry</td>
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<tr>
<td>Profession Day</td>
<td>TBA</td>
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<td>Regional Board Exams</td>
<td>TBA</td>
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<tr>
<td>Dental Hygiene National Board Exam</td>
<td>TBA</td>
</tr>
<tr>
<td>American Dental Educ. Association</td>
<td>March 14 - 17, 2020</td>
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<tr>
<td>Nebraska Dental Association Meeting</td>
<td>April 24, 2020</td>
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<tr>
<td>American Association of Dental Research</td>
<td>TBA</td>
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<tr>
<td><strong>Medicine</strong></td>
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<tr>
<td>Medicine 3</td>
<td>TBA</td>
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<tr>
<td>will follow a 2-week clerkship schedule starting 1/6/20 through 6/28/20.</td>
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<tr>
<td><strong>Medicine 4 Clerkship Schedule</strong></td>
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<tr>
<td>January 6 – February 2</td>
<td>March 2 – March 27</td>
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<tr>
<td>February 3 – March 1</td>
<td>April 6 – May 1</td>
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<tr>
<td>USMLE, Step 1 and Step 2, will be administered by computer throughout the year.</td>
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<tr>
<td><strong>Pharmacy 4 Clerkship Schedule</strong></td>
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<tr>
<td>January 6 – January 31</td>
<td>March 2 – March 29</td>
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<tr>
<td>February 3 – March 1</td>
<td>April 6 – May 1</td>
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<tr>
<td><strong>Physician Assistant 2 Clerkship Schedule:</strong></td>
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<tr>
<td>January 6 – February 2</td>
<td>March 2 – March 29</td>
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<tr>
<td>February 3 – March 1</td>
<td>April 6 – May 1</td>
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<tr>
<td><strong>SUMMER TERMS 2020</strong></td>
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<tr>
<td>Students will receive email notifications on the 10th day of the term regarding their billing statement. A late fee will be assessed on any tuition and/or fees not paid in full by the due date on the billing statement.</td>
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<tr>
<td>Accelerated Nursing</td>
<td>May 11 – August 14, 2020</td>
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<tr>
<td>Last day to ADD/DROP classes</td>
<td>May 13, 2020</td>
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<tr>
<td>Last day to WITHDRAW from classes</td>
<td>July 17, 2020</td>
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<tr>
<td>Course(s) dropped between May 13, 2020 and July 17, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after July 17, 2020 and will appear on the UNMC transcript and reflect grade earned.</td>
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<tr>
<td>RN-BSN Nursing</td>
<td>May 18 – August 14, 2020</td>
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<tr>
<td>Last day to ADD/DROP classes</td>
<td>May 20, 2020</td>
</tr>
<tr>
<td>Last day to WITHDRAW from classes</td>
<td>July 19, 2020</td>
</tr>
<tr>
<td>Course(s) dropped between May 20, 2020 and July 19, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after July 19, 2019 and will appear on the UNMC transcript and reflect grade earned.</td>
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</tbody>
</table>
**Allied Health Professions**

IPA Phase I ............................................................... May 4 – August 21, 2020
Last day to ADD/DROP classes .................................................. May 6, 2020
Last day to WITHDRAW from classes ......................................... July 17, 2020
Course(s) dropped between May 6, 2020 and July 17, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after July 17, 2020 and will appear on the UNMC transcript and reflect grade earned.

PA 2 ........................................................................... May 4 – August 28, 2019
Last day to ADD/DROP classes .................................................. May 6, 2020
Last day to WITHDRAW from classes ......................................... July 24, 2020
Course(s) dropped between May 6, 2020 and July 24, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after July 24, 2020 and will appear on the UNMC transcript and reflect grade earned.

IPAP Phase II ............................................................... May 11 – October 2, 2020
Last day to ADD/DROP classes .................................................. May 13, 2020
Last day to WITHDRAW from classes ......................................... August 7, 2020
Course(s) dropped between May 13, 2020 and August 7, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after August 7, 2020 and will appear on the UNMC transcript and reflect grade earned.

PA 1/D, Canadian, MITS/D/Post Bac, .......... May 18 – August 14, 2020
Cytotechnology/D, Genetic Counseling

Clinical Perfusion 5/D, Medical Family Therapy,......May 18 – August 14, 2020
Medical Nutrition M, HPTT
Last day to ADD/DROP classes .................................................. May 20, 2020
Last day to WITHDRAW from classes ......................................... July 19, 2020
Course(s) dropped between May 20, 2020 and July 19, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after July 19, 2020 and will appear on the UNMC transcript and reflect grade earned.

Medical Nutrition M1 ...................................................... May 18 – July 10, 2020
Last day to ADD/DROP classes .................................................. May 20, 2020
Last day to WITHDRAW from classes ......................................... June 24, 2020
Course(s) dropped between May 20, 2020 and June 24, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after June 24, 2020 and will appear on the UNMC transcript and reflect grade earned.

PT 1/2 ........................................................................... May 18 – July 24, 2020
Last day to ADD/DROP classes .................................................. May 20, 2020
Last day to WITHDRAW from classes ......................................... July 3, 2020
Course(s) dropped between May 20, 2020 and July 3, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after July 3, 2020 and will appear on the UNMC transcript and reflect grade earned.

Dentistry
DDS 1 & DH (clinics & classes) ................................................. May 18 – July 10, 2020
Last day to ADD/DROP classes .................................................. May 20, 2020
Last day to WITHDRAW from classes ......................................... June 24, 2020
Course(s) dropped between May 20, 2020 and June 24, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after June 24, 2020 and will appear on the UNMC transcript and reflect grade earned.

DDS 2/3 ........................................................................... May 18 – August 14, 2020
Last day to ADD/DROP classes .................................................. May 20, 2020
Last day to WITHDRAW from classes ......................................... July 19, 2020
Course(s) dropped between May 20, 2020 and July 19, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after July 19, 2020 and will appear on the UNMC transcript and reflect grade earned.

Graduate, Public Health, DNP, MSN, POST MS:
Eight-Week Session ............................................................. May 18 – July 10, 2020
Last day to ADD/DROP classes .................................................. May 20, 2020
Last day to WITHDRAW from classes ......................................... June 24, 2020
Course(s) dropped between May 20, 2020 and June 24, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after June 24, 2020 and will appear on the UNMC transcript and reflect grade earned.

First Five-Week Session ....................................................... June 8 – July 10, 2020
Last day to ADD/DROP classes .............................................. June 10, 2020
Last day to WITHDRAW from classes ................................. July 1, 2020
Course(s) dropped between June 10, 2020 and July 1, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after July 1, 2020 and will appear on the UNMC transcript and reflect grade earned.

Second Five-Week Session ........................................... July 13 – August 14, 2020
Last day to ADD/DROP classes ........................................... July 15, 2020
Last day to WITHDRAW from classes ................................. August 5, 2020
Course(s) dropped between July 15, 2020 and August 5, 2020 will appear on the UNMC transcript with a grade of ‘W’. Course(s) cannot be dropped after August 5, 2020 and will appear on the UNMC transcript and reflect grade earned.

The last day to qualify for residency is the last day of registration (6th day of the term).

Deadline for filing for August graduation ............................... June 10, 2020

Holidays
Memorial Day ................................................................. May 25, 2020
Independence Day ............................................................. July 4, 2020

Special Notes

Dentistry
National Board Exams: Part I will be administered by computer.
UNMC Commencement (no ceremony) .............................. August 14, 2020

Public Safety/Security

Campus security is coordinated by the UNMC Department of Public Safety (DPS).

The Department of Public Safety employs both security officers and police officers. Officers conduct foot, vehicular, and bicycle patrols of the campus 24 hours a day in an effort to deter criminal acts. UNMC DPS enforces all University and Nebraska Medicine regulations, investigate criminal violations, and work closely with the Omaha Police Department, Douglas County Sheriff’s Office, plus state and federal authorities.

The UNMC DPS Business Office can be contacted in the following ways:

Phone: 402.559.4439
       Monday – Friday
       8 a.m. – 4:30 p.m.

Walk in’s: Academic Research and Services (ARS) Building
          4215 Emile Street

Email: unmcsec@unmc.edu

For officer response, the UNMC DPS Dispatch can be contacted in the following ways:

24 hour emergency: 402.559.5555
This is the campus equivalent of dialing “911”

24 hour non-emergency dispatch: 402.559.5111

Members of the campus community are encouraged to make prompt reports to the UNMC DPS when they observe criminal or suspicious behavior. Remember... SEE SOMETHING, SAY SOMETHING!

Lost/Found Property

The DPS business office maintains a lost and found program.

Individuals finding personal property on UNMC/Nebraska Medicine property should contact the Public Safety business office (402.559.4439) at the earliest opportunity and make arrangements to turn over the found property to the DPS.

Every reasonable effort will be made to identify and contact the owner of items turned in and return items to the owner.

CHAPTER 1: Section 6

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Room Scheduling

Here are the steps to take to schedule a room.

Step 1 - Review the Criteria for Scheduling
Make sure you meet all the criteria for scheduling the room. In some cases, you need approval from additional offices.
TIP: Events and classes will start on the hour or half-hour. They must end 10 minutes before the hour or 20 minutes past the hour (example: a meeting at 10 a.m. will end at 10:50 a.m., not 11 a.m.)

Step 2 - Select a Room
See a list of all the rooms available for scheduling. Remember, not all rooms on campus can be scheduled through this process, including those in the Michael F. Sorrell Center for Health Science Education building.

Step 3 - Contact Us for Approval
Simply complete the Room Scheduling Form or email us. If you’re scheduling a room for nonacademic purposes, approval will be granted on a first-come basis.
TIP: Be sure to provide two rooms when you submit your request. That way, you have a second option if your first choice is already booked. If there are still conflicts, follow the conflict resolution procedures.

Step 4 - Watch Your Inbox for a Confirmation Email
We’ll send you a confirmation email once we have processed and approved your request. You should receive a response within 2 business days. However, depending on the volume of requests, it may take a little longer. Call us at 402.559.7254 or email roomscheduling@unmc.edu if you have any questions.
TIP: If you need to arrange for A/V room equipment or Echo360 classroom recording, make sure you submit a request to Information Technology Services (ITS).

Building Codes

See campus map on page 14
AAH    Alumni House
ADC    Administration Center
ARS    Academic & Research Services
AX7    Annex 7
AX8    Annex 8 (MMI Diagnostic Center)
AX10   Annex 10 / Business Services (4230 Building)
AX14   Annex 14 (UNeMed)
AX15   Annex 15
AX16   Annex 16 (bank)
AX17   Annex 17
AX18   Annex 18 (Friendship House)
AX19   Annex 19
AX20   Annex 20
AX21   Annex 21
AX22   Annex 22 Materials Management (General Supply/Mail/Printing Services)
AX23   Annex 23 (grounds)
AX24   Annex 24 (OPPD)
AX31   Annex 31
BCC    Fred & Pamela Buffett Cancer Center
BTH    Bennett Hall
BVM    Brentwood Village Medical
CBM    Council Bluffs Medical
CCA    Clarkson College Student Apartments
CCS    Clarkson College Student Center
CDN    Clarkson Doctors North
CDS    Clarkson Doctors South
CFM    Clarkson Family Medicine
CKC  Clarkson College
CKT  Clarkson Tower
COD  College of Dentistry (UNL CAMPUS)
CNS  Center for Nursing Science
CON  College of Nursing
CON-L College of Nursing (UNL - Commerce Court Bldg)
CSA  Clarkson College Annex
CUP  Central Utility Plant
CVR  Weigel Williamson Center for Visual Rehabilitation
CWM  Clarkson West Medical Center
DOC  Durham Outpatient Center
DRC  Durham Research Center
DRC2 Durham Research Center II
ERM  Eagle Run Medical
ECI  Eppley Cancer Institute
ESH  Eppley Science Hall
ETB  Education Tech Building
EUP  East Utility Plant
EYS  Lion’s Eye Bank
FMW  Family Medicine, UMC West
HIC  Home Instead Center for Successful Aging
HLC  Hixson-Lied Center for Clinical Excellence
INH  International House
ISC  Integrated Service Center (Annex 30)
KWT  Kiewit Tower
LOC  Lauritzen Outpatient Center & Fritch Surgery Center
LTC  Lied Transplant Tower
MCPH Harold M. & Beverly Maurer Center for Public Health
MMI  Munroe-Meyer Institute
MSB  Medical Sciences Building
MSC  Michael F. Sorrell Center for Health Science Education
NSRI National Strategic Research Institute

PMB  Peterson Medical Building (Midwest Eye Care)
PDD  UNMC Center for Drug Discovery and Lozier Center for Pharmacy Sciences and Education
PYH  Poynter Hall
SCC  Specialty Care Clinic
SKH  Shackleford Hall
SLC  Student Life Center
SSP Specialty Services Pavilion
STA1  Student Apartments 1
STA2  Student Apartments 2
SZP  Storz Pavilion
TEI  Truhlsen Eye Institute
UT1  University Tower 1
UT2  University Tower 2
UT3  University Tower 3
UT4  University Tower 4
WHM Wittson Hall/McGoogan Library
WSH  Joseph D. and Millie E. Williams Science Hall
CHAPTER 2
Financial Accounting

This chapter covers the basic accounting terminology, procedures and reports at UNMC. Items discussed in this chapter include cost centers and WBS elements, cost elements, funding types and their restrictions, monthly ledger reviews, report groups, requesting new cost objects and fixed assets. Key SAP reports that are used commonly at UNMC are discussed, along with other reporting.

CHAPTER 2: Section 1
Cost Objects
The two types of cost objects in SAP are cost centers and WBS elements.

Cost Center
Cost centers are used to capture plan, revenues, expenses, transfers and commitments for a University unit or department for state aided non-revolving funds (cost centers that begin 31), state aided revolving funds (cost centers that begin 32) and auxiliary funds (cost centers that begin 33). Cost centers are 10 digit numbers. Within a department, multiple cost centers may be set up to further break down expenses by project or activity.

Cost Center Structure
Visual recognition has been built into the numbering structure. The first number represents the campus and the second number represents the fund type. The third and fourth digits represent the college or administrative area, and the fifth and sixth digits represent the department. The remaining digits represent the further breakdown of the cost center as necessary for reporting.

WBS Elements
WBS elements are thirteen-digit numbers used to plan, gather, track costs and define the accounting structure within a project. WBS elements can begin with 34, 35, 36, 37 or 39. A project can have multiple WBS elements, which can be used to segregate or breakdown the project by any criteria desired. The most common uses are for grants, subcontracts, tasks, faculty member for project accounting and phases of a plant project.

WBS Structure
Visual recognition has been built into the numbering structure. The first number represents the campus and the second number represents the fund type. The third and fourth digits represent the college or administrative area, and the fifth and sixth digits represent the department. Digits seven through ten represent the project. The remaining digits represent the further breakdown of the WBS element as necessary for reporting.

Campus Assigned
Department (Campus Discretion)
Sub-Program (College/Admin Area)
Campus Assigned
Type of Fund
1 - State Aided (Non-revolving) 2 - State Aided (Revolving) 3 - Auxiliary 4 - Other

WBS Elements
1 - Federal Letter-of-Credit (LOC) 2 - Federal Advance 4 - Federal Letter-of-Credit (LOC) 6 - Trust Life-to-Date (LTD) 7 - Trust Year-to-Date (YTD) 9 - Other

Type of Fund
1 - Federal Letter-of-Credit (LOC) 2 - Federal Advance 4 - Federal Letter-of-Credit (LOC) 6 - Trust Life-to-Date (LTD) 7 - Trust Year-to-Date (YTD) 9 - Other
CHAPTER 2: Section 2

Funding Types

State-Aided Funding (31s)
- General Fund: A state-aided unit receives its funds from state appropriations (tax dollars), Nebraska Research Initiative (NRI), and Programs of Excellence (POE)
- Cash Fund: Derived from tuition, fees, clinic patient revenue, tobacco and other miscellaneous income

Revolving Funding (32s)
Revolving funds are self-generated from departmental sales and charges.

Auxiliary (33s)
An auxiliary enterprise is an entity that exists to furnish goods and services to students, faculty, or staff and charge a fee directly related to its operations. Examples include: printing services, general supply, bookstore, etc.

Service Centers are one type of auxiliary at UNMC. Service centers are organizational units providing goods or services to users principally within the UNMC academic and administrative community for a calculated fee. All service centers are expected to recover the aggregate costs of their operations through charges to users and are expected to break even over time.

Questions regarding service centers:
Megan Frisbie
Financial Compliance Specialist
megan.frisbie@unmc.edu
402.559.5196

Federal Grants & Contracts (34s, 35s)
Federal funds include federal grants and contracts plus student aid programs supported from federal funds.

Non-Federal Grants & Contracts (36s)
Non-Federal grants and contracts include federal pass-thru’s, clinical studies, and private donor grants.

Departmental Funds (37s)
State and private gifts, grants and contracts, non-federal student aid programs, etc.

Plant Projects (39s)
Plant funds are used to purchase, construct or renovate long-life assets such as land, land improvements, buildings and equipment.

NU Foundation Funding (University of Nebraska)
Most of UNMC’s endowment funds are held at the NU Foundation. The endowment consists of funds held in trusts for UNMC. These funds come from private gifts to UNMC, to its schools, units and programs, as well as accrued income earned through investing the funds.

NU Foundation funding is located in fund type 37s.

Nebraska Medicine Funding
Funds received from Nebraska Medicine related to operations performed by UNMC. Examples include: Security, COM and House Officers, Radiation Safety, Mail Services, etc.

Deans Development Investment Funds (DDIF) are located in fund types 3782s and 3783s.

UNMC sends an invoice via the A/R system to receive operations funding.

Veterans Affairs (VA) Funding
Funds from Veterans Affairs related to operations performed by UNMC. Examples include Radiation Safety, COM, etc.

UNMC sends an invoice via the A/R system to receive operations funding.

CHAPTER 2: Section 3

Fund Type Restrictions/Rules
Cost Centers & WBS elements are “buckets” set up to hold the revenues and/or expenses related to a specific program or activity. Revenues & expenses should be recorded in the “bucket” to which they relate.

If a revenue or expense was recorded in the wrong bucket (i.e. wrong cost center, WBS element and/or G/L account), use a journal entry to fix it.

Restrictions:
- Corrections of prior fiscal year expenses require special handling.
- Cannot use a journal entry to fix payroll errors – must be coordinated with the Payroll Office.
If an expense was recorded in the right bucket but there is not enough budget to cover it, a budget transfer might be used to fix it.

**Restrictions:**
- Cannot cross fund types.
- Cannot transfer benefit budgets.
- Cannot transfer budget between grants.
- Transfers between budget categories within a grant may require written permission from the granting agency.

If you cannot use a budget transfer to fix an over-expended budget, then you will need to use a journal entry to move expenses from the over-expended cost center or WBS to a cost center or WBS that has a budget or fund balance to cover it.

**Restrictions:**
- Lump sum transfers are not allowed – must identify specific transactions to transfer.
- Cannot transfer expenses to a grant unless the expense relates to the performance of the grant and is allowable under the grant terms.
- Cannot use a journal entry for payroll expense transfers – must be coordinated with the Payroll Office.

### CHAPTER 2: Section 4

**Cost Element**

A Cost Element, commonly known as a General Ledger (G/L) Account, is an account or record used to sort and store balance sheet and income statement transactions. Examples of Cost Elements are Cash, Office Supplies and Equipment.

Every transaction entered into the accounting system must be associated with a G/L account. The G/L account is a six-digit number and is hierarchical in structure. G/L account numbers that begin with a four are revenues and G/L account numbers that begin with a five are expenditures. You can think of the first three digits of a G/L account as its “prefix” to help you narrow your search for a G/L account.

For a list of G/L accounts and other information, see Sapphire > Documentation > Financial > General Ledger >
- G/L Account Revenues List
- G/L Account Expenditure List

### G/L – CO Number Scheme

G/L Accounts, Cost Elements, Revenue Elements

![Diagram](image)

**Examples**

521300  Freight and Shipping  521301  Courier Service

### CHAPTER 2: Section 5

**Report Groups**

A report group is a hierarchical grouping of cost centers and WBS created to facilitate reporting. Contact the Budget Office to create new report groups, change report groups or remove report groups.

For a list of UNMC report groups, see the Controller’s website: Report Group Hierarchy List

### CHAPTER 2: Section 6

**Key SAP Reports**

Revenues on SAP reports are reported with their natural sign as a negative, which indicates a credit. Expenses are reported with their natural sign as unsigned (positive), which indicates a debit. This is routine accounting procedure. If you focus on the $Variance column on the Cost Center or WBS Element Revenue & Expense Summary, an unsigned (positive) number represents budget remaining to spend and a signed (negative) number means the budget has been overspent.

Useful SAP reports:
(click on the report name for more information on the report)

**UNMC Area Revenue/Expense Summary with Carry Forward**

**Purpose:** The UNMC Area: Revenue/Expense Summary with Carry Forward report summarizes plan and actual revenues, expenses, and transfers by cost center or WBS element. Open commitments for the current fiscal year
are also summarized. Net Activity and Carry Forward columns are also displayed. Net activity is found by adding Revenues, Expenses, Transfers, and Commitments. Total Balance is found by adding Net Activity and Carry Forward. You can drill down to Revenue/Expense Summary with prior year balance forward.

Menu Path

Transaction code: Y_UND_89000033

Cost Center: Revenue/Expense Summary with prior year balance forward
Purpose: The Cost Center Revenue/Expense Summary with Prior Year Balance Forward Report is used to view the Cost Center Plan and to monitor the progress of the current year’s activities against the plan. This report summarizes plan and actual revenue, expenses and transfers by cost element, then displays the current year revenue (over)/under expenses for the current month and the cumulative (fiscal year-to-date) activity. Open commitments for the fiscal year are also summarized. The variance (the difference between the plan and the cumulative activity plus commitments) is displayed as a dollar amount and as a percentage of the plan remaining. When the report is generated on a state-aided revolving or auxiliary cost center, the prior year balance forward and the total balance will be included in the report.

Within the prior year balance forward section, a positive amount in the Surplus/Deficit field indicates a surplus was carried forward and a negative amount indicates a deficit.

Within the total balance section, a positive amount in the Surplus/Deficit field indicates a surplus and a negative amount indicates a deficit.

Menu Path
Standard menu: Information Systems > Financial Accounting > Cost Center Accounting > Cost Center Reports > Cost Center > Revenue/Expense Summary with Prior Year Balance Forward

Simplified menu: Finance > Cost Center Reports > Cost Center Revenue Expense Summary w/prior year Balance Forward

Transaction code: Y_UNS_83000139

WBS: Revenue/Expense Summary
Purpose:
The WBS Elements: Rev/Exp Summary Report provides a summary of WBS elements, such as gifts, grants, contracts, and other externally sponsored activities. If more than one WBS element is included in a project, this report will summarize the information for the project, as well as, offer the individual Revenue and Expense Summary reports on each WBS element. This report includes four sections: 1) Revenue, 2) Expense, 3) Transfer, and 4) Revenue (over)/under Expense. Transfer refers to transfer of funds or fund balances between cost objects. The accounting office usually post transfers. The transfer section will only appear if a transfer has been completed during the life-cycle of the grant.

Menu Path

Simplified menu: Finance > Project System > (WBS) Reports > WBS Revenue and Expense Summary

Transaction code: Y_UNS_83000165

UNMC Negative Balance by Report Group Selection
Purpose: The Negative Balance Report provides a listing of cost objects that have a life to date deficit balance. The report is generated by a department’s report group(s) during a specific period or fiscal year.

Menu Path

Transaction code: ZMFI03

FI Payroll Detail Report
Purpose: The Financial Payroll Detail Report provides a listing of transactions posted to G/L Accounts for Wages and Benefits during a specific period or range of periods within a fiscal or calendar year(s). This information can be used to monitor actual postings to cost objects (i.e., Cost Centers and WBS Elements). The report can be generated on one or more personnel numbers, an organizational unit, or multiple cost centers/WBS elements. Data from all PY documents as well as any journal entries (on non-PY documents to payroll accounts 510000-519999) posted to the cost object will be displayed. Seven report views are available, summarized or itemized by Personnel Number or Wage Type.
**Purpose:** The **Financial Payroll Cost Distribution Report** provides a summary of the total Wages and Benefits paid by cost object for each person included in the selection for the specified period or range of periods within a fiscal or calendar year. The report can be generated by: 1) personnel number(s); 2) by an organizational unit; or 3) by cost object(s) – one Cost Center and/or one WBS Element. Depending on the sort selected, the report summarizes the data by personnel name or personnel number. The report displays the total Wages, Benefits, Total (Wages + Benefits), % Benefits Ratio (Benefits/Wages)*100; Planned Pay Rate, and the % Planned Cost Distribution by start and end date for each cost object the person was paid from during the period(s) specified.

**Menu Path**
- Standard menu: Information Systems > Financial Accounting > Cost Center Accounting > Detail Line Items > FI Payroll Cost Distribution
- Simplified Menu: Finance > Other Reports > FI Payroll Cost Distribution

**Transaction Code:** Y_UNS_83000151

**Purpose:** The **Financial View Report Listing Cost Distribution Data** Report allows the user to view multiple employees Appointments or Cost Distributions in the same report. The report can be run by organization unit or via a listing of employee IDs for a specific date range.

**Menu Path**
- Standard menu: Information Systems > Financial Accounting > Cost Center Accounting > Detail Line Items > FI Payroll Cost Distribution

**Transaction Code:** ZH17

**SAP Training**
Training is available on SAP Reports. To see upcoming training dates and sign up for the training session go to eServ, clicking the Education tab, then selecting My Registrations. In the Available Events search box type “SAP-Report” and click search. All available training sessions will show up in the results. To register for the training click on the class and follow the prompts. To see a list of all training courses please go to the SAP & Firefly Support website.

**Available Trainings**

**SAP Basic Navigation:** Learn the basic skills of Firefly and SAP and how to navigate around SAP. Also, learn some basic tips and tricks to become familiar with SAP. This class is required for all employees wanting access to SAP. This is an online, guided tutorial.

To view this tutorial, please go to Firefly > SAPPHIRE tab > SAP e-Learning > SAP Basic Navigation.

If you feel that the online tutorial did not give enough information or if you have questions please call the SAP Helpdesk, 402.559.5908.

**Travel:** Training will include terminology discussion, overview of Travel workflow process, navigation, basic overview of roles, and department must have a trained Travel Coordinator to participate in the University Travel Management System. Training is not required for those entering travel requests. Contact your department travel coordinator for training basics. This class will provide instruction on how to create travel requests and employee travel expense reimbursements.

Contact Travel Services at 402.559.8950 or travelservices@unmc.edu to arrange training.

**UNMC eSHOP Requestor Training:** Training will include terminology discussion, overview of eSHOP workflow process, navigation, search functions, suppliers (including General Supply), cart creation, and basic overview of shopper, requestor, and approver roles.

Contact Mary Mitilier at 402.559.5853 or unmcprocurement@unmc.edu.

**Purchasing Card Reconciling:** Departments must have a trained reconciler to participate in the University Procurement Card Program. This class will provide instructions on how to reconcile procurement card transactions within SAP.

Contact Mary Mitilier at 402.559.5853 or unmcprocurement@unmc.edu to arrange training.

**Journal Entries:** Learn how to create, display and reverse G/L account posting (journal entries, interdepartmental charges). Post entries using the G/L fast entry screen, posting with reference or sample documents. Explore various searching and troubleshooting techniques.

Contact Terry Lilla at 402.559.5828 or terry.lilla@unmc.edu to arrange training.
Financial Report Training I: Various reporting classes are offered to teach users how to generate SAP reports on line and how to use on-line reporting tools to create and save display variants; sort, find, and filter data.
Contact Terry Lilla at 402.559.5828 or terry.lilla@unmc.edu to arrange training.

Time Management: Online training on time reporting. In this class you will learn how to enter time sheets into SAP and how to review quota balances.
Contact Payroll at 402.559.7460 or unmcpayroll@unmc.edu to arrange training.

Personnel Administration Display: Presentation demonstrating how to view the information in the Personnel Administration module of SAP and an overview of the info-types in Personnel Administration.
Please log in to the “Employee Services” website https://net.unmc.edu/eserv/ and click on EDUCATION and then click My Registrations. In the “search event name:” field enter “SAP” then press the “Search” button. If you search by Personnel Admin & not SAP it will not pull these classes.
If you have any questions please contact HR Records at 402.559.4391 OR 402.559.4216.

Personnel Administration I & II: Presentation demonstrating how to process personnel actions in the Personnel Administration module of SAP.
Please log in to the “Employee Services” website https://net.unmc.edu/eserv/ and click on EDUCATION and then click My Registrations. In the “search event name:” field enter “SAP” then press the “Search” button. If you search by Personnel Admin & not SAP it will not pull these classes.
If you have any questions please contact HR Records at 402.559.4391 OR 402.559.4216.

Campus Help
Still need help or have questions and do not know where to turn? You may contact the UNMC SAP Help Desk 402.559.2899 anytime for help. Or please feel free to e-mail your questions to unmcfirefly@unmc.edu

Location
All classes will be held in the Administration Center in Room 2008 unless otherwise noted.

CHAPTER 2: Section 8
Monthly Ledger Reviews
Administrators are required to review and approve reconciliations, review SAP transaction and subsidiary ledger detail activity and perform regular analytical review of balances for reasonableness based on expectations. Payroll ledgers need to be reviewed to ensure that only active employees are paid, pay rates are correct, and initialed that the documentation was reviewed. Payroll ledgers can be documented in two ways:
- Payroll ledgers that are sent out are initialed and kept for documentation or
- Payroll ledger report is emailed for approval and then email response of approval is printed or saved for documentation.

Ledgers are to be certified the month following month end close. For example: January ledgers need to be certified by the end of February.
1. Log into Management Resources
2. Go to: Financial Management/Ledger Certification
3. Use the drop down menus to select the fiscal year, month and report group needing to be certified.
4. Click Search, this will bring up the ledgers that need to be certified.

For example: The fiscal year is 2015-2016, the month needing to be certified is February, and the report group being certified is 34326PRCH
5. There is a “Select All” option by checking the box by the month, if all ledgers have been certified, for quick and easy certification.

6. If a ledger is certified in error, please contact General Accounting, and a correction can be made.

**Ledger Certification Report**

1. Log into Management Resources
2. Go to: Financial Management/Certification Report
3. Use the drop down menus to select the report group/fiscal year and month.
4. Click Search.
5. If under the month there is a red square, this means the ledgers for this report group have not been certified.

6. To export this report to excel, click on the printer with the green arrow. To export this to PDF, click on the second printer.

**CHAPTER 2: Section 9**

**Negative Balance Report**

The Negative Balance Report shows the department’s negative balances for fund types 33s, 34s, 35s, 36s and 37s. Department administrators and assigned users will be notified by email at the end of each quarter when the report is released. The Negative Balance Reports for the 4th quarter are released after Period 13 closes. Administrators and assigned users are to enter and submit comments for their negative balance cost objects. Users will have two weeks from time of notification to enter and submit comments.

Cost objects that have a life to date deficit balance will appear on the negative balance report.

**WBS elements (children) can be rolled up to the primary WBS element (parent) causing the primary (parent) WBS to be a surplus or deficit.**

**Negative Balance Report instructions**

- Online Negative Balance Report Log-on Instructions
- Submitting Negative Balance Report Comments
- Reviewing Negative Balance Report Comments

**CHAPTER 2: Section 10**

**Metrics System**

Metrics reports are to serve as operational indicators used to quickly assess progress and highlight potential problem areas. All quarters will represent values cumulative for the year. Currently, metrics have been separated into groups or subject areas at the college/department/Institute levels.

**Metrics Financial Reporting**

**Budget, Actual and Variance for State Aided, Revolving and Restricted funds (31’s, 32’s, 33’s and 37’s)**

All values are shown as they would in SAP. Revenues are shown as negative amounts and expenses as positive amounts. All Budget salary information is collected from the budget control system for all funds. The budget control system has all data for State Aided and Revolving funds (31’s - 33’s) and SAP is the data source for non-salary Restricted funds (37’s). Actual represents the actual postings made in SAP. Quarters 1-3 have no accrual data in them (and no Accounts Receivable amounts in them.) Quarter 4 contains data from Periods 12 and 13 in SAP and includes accruals (and includes the amounts listed for outstanding Accounts Receivable). Variation is the difference between the budget and actual amounts. A positive value here would be a greater amount of actuals than were budgeted. The signs are flipped from the actuals column.

**Accounts Receivable**

Outstanding A/R comes from the Accounts Receivable module within Management Resources. This is a snapshot or view of the data on a specific day (usually the night of the quarter end).

**Grant & Contract Expenditures / Overhead Expenditures (34’s – 36’s)**

Fi/Research Expenditures Federal / Non-Federal is determined by the A133 flag. The flag is present when UNMC is receiving funds directly or indirectly
Overhead Cost Recovery is costs on grants that cover overhead (Facilities and Administrative costs). This includes GLs 581000-581999. Remove Federal Direct Loan Program expenditures from Grant & Contract Expenditures (3X-4215’s).

Metrics Personnel Reporting

Head counts by employee type are employees that are active, non-resident Alt Work Yr, active non-resident alien, Alt Work Yr, leave of absence with pay, retirees and partial retirees are all included in the report. Retirees that have withdrawn or are inactive, volunteers, and other unpaid positions are excluded from this report. The following table defines each employee type and is based on employee’s primary appointment.

<table>
<thead>
<tr>
<th>Employee Type</th>
<th>Employee Subgroup</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acad/Admin - Other</td>
<td>M1, N1</td>
</tr>
<tr>
<td>Other academic</td>
<td>A1, A2</td>
</tr>
<tr>
<td>Faculty</td>
<td>F1, F2, J1, J2, K1, K2, L1, L2, P1</td>
</tr>
<tr>
<td>Grad Assistant</td>
<td>D1, D2</td>
</tr>
</tbody>
</table>

Head counts by staff appointment are permanent or temporary and full-time or part-time. Part time employees are defined as any non-full time employee. The table defines regular and temp classifications based on subgroup.

<table>
<thead>
<tr>
<th>Employee Subgroup</th>
<th>Employee Subgroup Description</th>
<th>Regular/Temp</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1</td>
<td>REG OTHER ACAD SAL</td>
<td>Regular</td>
</tr>
<tr>
<td>B1</td>
<td>REG MGR PROF SALARY</td>
<td>Regular</td>
</tr>
<tr>
<td>B2</td>
<td>REG MGR PROF HOURLY</td>
<td>Regular</td>
</tr>
<tr>
<td>C2</td>
<td>REG OFF/SERV HRLY</td>
<td>Regular</td>
</tr>
<tr>
<td>D1</td>
<td>STD GRAD ASST SAL</td>
<td>Temporary</td>
</tr>
<tr>
<td>F1</td>
<td>TEM ACADEMIC SAL</td>
<td>Temporary</td>
</tr>
<tr>
<td>F2</td>
<td>TEM ACADEMIC HOURLY</td>
<td>Temporary</td>
</tr>
<tr>
<td>H1</td>
<td>REG HOUSE OFFCR SAL</td>
<td>Regular</td>
</tr>
<tr>
<td>J1</td>
<td>REG SP TERM FAC/S</td>
<td>Regular</td>
</tr>
<tr>
<td>K1</td>
<td>REG TEN FAC/S</td>
<td>Regular</td>
</tr>
<tr>
<td>L1</td>
<td>REG SPECIAL FAC/S</td>
<td>Regular</td>
</tr>
<tr>
<td>M1</td>
<td>REG ACAD ADMIN SAL</td>
<td>Regular</td>
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<td>N1</td>
<td>REG ADMIN SALARIED</td>
<td>Regular</td>
</tr>
<tr>
<td>P1</td>
<td>REG HTH FAC SAL</td>
<td>Regular</td>
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<tr>
<td>S1</td>
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<td>Temporary</td>
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<td>S2</td>
<td>STUDENT HOURLY</td>
<td>Temporary</td>
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<td>W1</td>
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<tr>
<td>W2</td>
<td>TEMP NON FAC HRLY</td>
<td>Temporary</td>
</tr>
<tr>
<td>Y1</td>
<td>TEMP MGR PROF SAL</td>
<td>Temporary</td>
</tr>
<tr>
<td>Y2</td>
<td>TEMP MGR PROF HOURLY</td>
<td>Temporary</td>
</tr>
<tr>
<td>Z2</td>
<td>TEM OFF/SERV HOURLY</td>
<td>Temporary</td>
</tr>
</tbody>
</table>

The same criteria is used for FTE appointments but its identifying all appointments on

• Same criteria as used for the head counts but identifying all appointments on Information Type 9001 (Appointments screen).

Metrics Sponsored Projects Reporting

Applications and Awards by sponsor type

Dates are very important: The Sponsored Programs Administration system splits applications based on the time submitted and awards based on the award date. The quarter end for Awards and Applications will be at least a few weeks after the fiscal quarter has ended.

Credit is given to the Department ID (DID) and it is not based on PIs, Co PIs, etc.

All credit for the grants and applications are given to the parent award. This means that awards that are split into multiple sub grants will not see credit for their share of a project.

The sponsor types are Federal, State, Industry and Other as defined by Sponsored Programs Administration.
Sub-Ledger Reports

The printed sub-system billing reports have been replaced with an on-line system located in Management Resources. Sub-system billing includes items such as telecommunications, printing, mail services, comparative medicine, bookstore lab coats and ITS. Printing of these reports was discontinued in July 2013.

To gain access to this web site please email Troy Dolezal (tdoleza@unmc.edu) by providing the name of the employee, cost objects or range that the employee needs access to and the individual requesting access.

For questions regarding this process please contact:

Jeff Miller, Controller  Troy Dolezal, Gen Acct Supervisor
jeffrey.miller@unmc.edu  tdoleza@unmc.edu
402.559.2704  402.559.5819

CHAPTER 2: Section 12

Accounts Receivable System

University of Nebraska Medical Center (UNMC) tracks all invoices to external customers for timely payment and accounting within a central Accounts Receivable System. Invoices are to be created using the Accounts Receivable (A/R) subsystem available within the UNMC Management Resources online application. Billers using the system submit their invoice detail online, assign a cost object and G/L account to the invoice for deposit purposes (posting to SAP), and attach supporting documentation, as needed, for the customer to process/remit payment to UNMC.

The A/R subsystem is not designed for internal (on campus) or inter-campus charges. Examples would include UNMC departments billing each other (Phone Charges, Copy Charges, Dietary Tickets, etc.) and inter-campus charges (UNO, UNL, UNK, etc.).

Transactions that can be accounted for solely within SAP, via journal entry, are not applicable to the intent of what is invoiced via the A/R subsystem.

Questions, biller access & training/demo requests can be directed to accountsreceivable@unmc.edu or Terry Lilla, Supervisor at terry.lilla@unmc.edu or 402.559.2978

Additional Accounts Receivable System information

Accounts Receivable Management Policy
Accounts Receivable Procedures – Billers

Fixed Assets

If an item has an acquisition cost of $5,000 or greater (includes installation and setup costs), and a useful life in excess of one year, it is considered for capitalization. Items to be capitalized will be added to the campus fixed asset inventory system showing cost center, date purchased, building, room, cost and purchase order number. A fixed asset has a G/L cost element of 553 __. Statute requires all capitalized items to be marked: “Property of State of Nebraska” and to receive a University identification number. UNMC adheres to Uniform Guidance (once every two years).

Uniform Guidance Requirements are:

- Description of the equipment, Serial #, Model#
- Source of the equipment, including Award#
- Acquisition Date and Cost
- Disposition Data
- Physical inventory once every two-years
- Verify the existence, current utilization and continued need for the equipment.

Disposal of assets purchased with Federal Funds have extra requirements. For questions regarding this process please contact:

Jeff Miller, Controller  Julie Bouchard, Accountant II
jeffrey.miller@unmc.edu  julie.bouchard@unmc.edu
402.559.2704  402.559.2909

Disposal of capital assets and other state owned property must be handled through General Supply and the Surplus Property Pickup Form. All equipment/property used is state property and you must always consider our fiduciary duty when disposing or transferring this equipment. When equipment is moving with a PI, who is leaving the University, a list of equipment that is leaving must be prepared and approved by the Department Head and the Vice Chancellor of Business and Finance. Any state property that will be transferred will need to be purchased.

The Surplus Property Pickup Form is located in eSHOP. For questions regarding this process please contact:

Robert Jennings, Senior Manager, Materials Management
robert.jennings@unmc.edu
402.559.5899

Jack Swanson, Supply Control Clerk
jpswanson@unmc.edu
402.559.5885
Regardless of the cost, the following items are non-capital equipment items:

- Blinds, shades, wall-to-wall carpeting, and similar items
- Software not purchased in conjunction with related hardware
- Equipment which is permanently built-in or installed
- Library books, art, and museum objects
- Cubicle walls, shelving, lockers and trophies
- Repair or replacement parts or components

For additional information please see the General Accounting Information Manual

CHAPTER 2: Section 14

Requesting a New Cost Center (31, 32, 33) or WBS Element (37)

When a department wants to establish a new cost center, the New Cost Center Request Form (Sapphire > Business Forms > UNMC > General Accounting > Cost Center Request Form) must be completed and forwarded to Julie Bouchard, General Accounting Office. General Accounting will then review the request for completeness and accuracy and then send it to the Budget Office for approval. Once approved, the Budget Office will send the information to General Accounting to create a new cost center in SAP and notify the Department of the cost center number by email.

For questions regarding this process please contact:

Julie Bouchard, Accountant II
julie.bouchard@unmc.edu
402.559.2909

Susan Kraft-Mann, Director of Budget & Fiscal Analysis
skraftmann@unmc.edu
402.559.3544

When a department wants to establish a new WBS element beginning with 37, the New Trust WBS Establishment Request Form (Sapphire > Business Forms > UNMC > Sponsored Programs Accounting > New WBS Request) must be completed and forwarded to Jeff Broberg, Assistant Manager of Sponsored Programs Accounting. Once approved, Sponsored Programs Accounting (SPA) will create a new cost center in SAP and notify the Department of the WBS number by email.

For questions regarding this process please contact:

Linda Vondras, Manager, Sponsored Programs Accounting
lvondras@unmc.edu
402.559.5825

Jeff Broberg, Assistant Manager, Sponsored Programs Accounting
jbroberg@unmc.edu
402.559.5826

CHAPTER 2: Section 15

SAP Document Types

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AA</td>
<td>asset posting</td>
</tr>
<tr>
<td>AB</td>
<td>clearing document</td>
</tr>
<tr>
<td>AF</td>
<td>depreciation posting</td>
</tr>
<tr>
<td>CD</td>
<td>direct deposit</td>
</tr>
<tr>
<td>CN</td>
<td>ACH receipt</td>
</tr>
<tr>
<td>CR</td>
<td>cash receipt</td>
</tr>
<tr>
<td>IB</td>
<td>internal charges – batch</td>
</tr>
<tr>
<td>IC</td>
<td>internal charges – online</td>
</tr>
<tr>
<td>JE</td>
<td>journal entry</td>
</tr>
<tr>
<td>KC</td>
<td>pro card vendor doc</td>
</tr>
<tr>
<td>KD</td>
<td>eShop direct pay</td>
</tr>
<tr>
<td>KE</td>
<td>employee expense</td>
</tr>
<tr>
<td>KG</td>
<td>vendor credit memo</td>
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<tr>
<td>KI</td>
<td>team travel charge</td>
</tr>
<tr>
<td>KJ</td>
<td>Pcard charge</td>
</tr>
<tr>
<td>KN</td>
<td>invoice – direct pay</td>
</tr>
<tr>
<td>KS</td>
<td>Pcard services</td>
</tr>
<tr>
<td>KT</td>
<td>travel sports</td>
</tr>
<tr>
<td>KU</td>
<td>non-travel expense</td>
</tr>
<tr>
<td>NC</td>
<td>warrant cancellation</td>
</tr>
<tr>
<td>ND</td>
<td>NIS journal entry</td>
</tr>
<tr>
<td>PA</td>
<td>payroll accrual</td>
</tr>
<tr>
<td>PJ</td>
<td>payroll journal entry</td>
</tr>
<tr>
<td>PY</td>
<td>payroll posting</td>
</tr>
<tr>
<td>RN</td>
<td>invoice with PO</td>
</tr>
<tr>
<td>SU</td>
<td>readjustment doc</td>
</tr>
<tr>
<td>TC</td>
<td>NSCS inter bill tran</td>
</tr>
<tr>
<td>TD</td>
<td>intrastate trans doc</td>
</tr>
<tr>
<td>TN</td>
<td>inter billing trans</td>
</tr>
<tr>
<td>UA</td>
<td>accrual journal entry</td>
</tr>
<tr>
<td>UD</td>
<td>DAS general document</td>
</tr>
<tr>
<td>UU</td>
<td>university only JE</td>
</tr>
<tr>
<td>WA</td>
<td>goods issue</td>
</tr>
<tr>
<td>WE</td>
<td>goods receipt</td>
</tr>
<tr>
<td>WI</td>
<td>inventory document</td>
</tr>
<tr>
<td>YD</td>
<td>DAS feedback disbursement</td>
</tr>
<tr>
<td>YR</td>
<td>DAS feedback receipt</td>
</tr>
<tr>
<td>ZC</td>
<td>controlling repost</td>
</tr>
<tr>
<td>ZP</td>
<td>payment posting</td>
</tr>
</tbody>
</table>
CHAPTER 3

University Budget

The Office of Budget & Fiscal Analysis is responsible for the development, implementation and control of University budgets and salary increases.

CHAPTER 3: Section 1

Introduction

The University of Nebraska Operating Budget is supported from a variety of funding sources which include: General Fund, Cash Funds, Federal Funds, Revolving Funds, Auxiliary Funds, and Trust Funds.

In addition to the budgeting and expenditure control functions, the Office of Budget & Fiscal Analysis performs several recurring analyses and can provide guidance or assistance to departments completing their own special costing or analysis projects. These include several recurrent analyses done throughout the year and many special projects completed on an “as needed” basis. Examples of those types of analyses performed regularly each year are Quarterly Financial Statement Reviews, Utility Reports and the Unrelated Business Income Tax Analysis. In addition, any unit can request guidance or assistance in completing their own special costing or analysis projects.

Funding Sources

- **General Fund**: State tax revenue allocated to the University (cost centers beginning with 31)
- **Cash Funds**: Derived from tuition, fees, clinic patient revenue, and other miscellaneous income (cost centers beginning with 31)
- **Federal Funds**: Federal funds include federal grants and contracts plus student aid programs supported from federal funds (WBS fund centers beginning with 34 or 35)
- **Revolving Funds**: Self-generated from departmental sales and charges (cost centers beginning with 32)
- **Auxiliary Funds**: An auxiliary enterprise is an entity that exists to furnish goods and services to students, faculty, or staff and charge a fee directly related to its operations (examples include student housing, bookstore, etc.) (cost centers beginning with 33)
- **Trust Funds**: State and private gifts, grants and contracts, non-federal student aid programs, endowments, etc. (WBS fund centers beginning with 36 or 37)

**Budget fiscal year**

July 1 – June 30 is the 12-month period of the University budget fiscal year.

**Permanent Budget**

Permanent budget is the original, continuing base budget. The General Operating Budget provides detail of the permanent base budget for each cost center. The permanent budget is the beginning fiscal year budget on July 1.

**Temporary Budget**

Temporary or current year budget is the amount of budget available to spend in the current fiscal year. Temporary/current year budget is displayed on the Cost Center: Revenue and Expense Summary report in the “Plan” column. The Temporary budget is the original beginning budget plus any temporary/current year budget adjustments.

**GL Account Posting/Journal Entry**

A GL Account Posting/Journal Entry is primarily used as a means to correct a payment/charge that has posted to a cost center. A GL Account Posting/Journal Entry is also used to correct a deposit made to the wrong revolving fund cost center.

*Example*: a department provided the Bookstore with the wrong cost center for supplies. A GL Account Posting/Journal Entry is used to transfer the actual cost of the supplies recorded on the wrong cost center to the appropriate departmental cost center.

The department that was charged in error originally had an expense (debit) posted to their cost center. The correction would decrease expenses (via credit) for the error and increase expenses (via debit) to the appropriate cost center.

**Cost Center**

A ten-digit number used to plan, gather, and track costs for a University unit or department for State-Aided (revolving and non-revolving), Auxiliary, and other fund types. Within a department, multiple cost centers may be set up to further breakdown expenses by project or activity.
Cost Element
Cost element is another term for General Ledger (G/L) account. It is a six-digit number that identifies the nature of revenue/expense.

<table>
<thead>
<tr>
<th>Cost Element</th>
<th>Cost Element Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>511000 - 517000</td>
<td>Planned Salary Categories</td>
</tr>
<tr>
<td>519XXX</td>
<td>Planned Benefits Categories</td>
</tr>
<tr>
<td>521000 - 590000</td>
<td>Planned Non Personal Services Categories</td>
</tr>
</tbody>
</table>

Plan/Budget General Ledger Codes
Plan General Ledger codes are sometimes referred to as Plan Account Codes or Plan Cost Elements. These codes identify broad budget categories at a higher level than actual activity.

The Plan amount reflects the current budget (also referred to as temporary budget) for the fiscal year.

The Plan changes when a temporary budget transfer is processed. A temporary budget transfer adjusts the amount available to spend for a specific line or category for the current fiscal year.

Organizational Unit
An organizational unit represents any type of organizational entity designated to perform a specified set of functions within the University. For example, departments will be represented by organizational units. It is by creating organizational units, and then identifying the relationships between the units, that you identify the organizational structure of the University.

Expenditure Credit
Expenditure Credit is a credit that can be directly traced to a specific expenditure and does not qualify as revenue. The credit should be applied to the cost center that originally incurred the expense. Examples are returns, rebates, and discounts given on purchased goods and services.

Position Number
A number assigned by Human Resources (for staff) or Academic Services (for faculty) which identifies the specific position to which the employee appointment information is assigned within the University’s organizational HR hierarchy. Each position is created and maintained in SAP Organizational Management and tied to a personnel area, a job, a pay scale type (if applicable), an employee group and subgroup, pay scale group and a pay grade. The position number submitted on the PAF indicates the position the employee is assigned. The employee inherits the attributes assigned to that position.

How to find position numbers assigned for your area:
SAP allows you to view all assigned position numbers by organizational unit. The standard menu path is: Human Resources > Organizational Management > Simple Maintenance > Display. Type in the Organizational Unit (or find the unit via drop down icon), and hit Enter. Click on the Staff Assignments button. All positions will be listed for the selected organization unit. If there is a plus sign to the left of the position title, the position has an incumbent. If you cannot see position numbers, click on View, Key On.

Encumbrance
A commitment of budget via a secured means, purchase requisition, purchase order, etc.

A current year or temporary adjustment that frequently occurs is called a “Prior Year Encumbrance Forward”. The Cost Center: Revenue and Expense Summary displayed reflects totals for year end, Periods 1-13. The Commitments column displays the total amounts for goods ordered/secured but not yet received as of June 30. The balance (%Variance) is reduced by the amount for the commitments. The funds have been “reserved” to pay for the goods.

Since the goods will arrive on or after July 1, payment will occur in the next fiscal year. The budget for the next fiscal year is increased by the amount of the prior year commitment.

CHAPTER 3: Section 2
Budget Transfers
A budget transfer increases or decreases the budget available to spend in the current year. It provides funding to a specific area or for a specific purpose.

What is a temporary budget transfer?
A temporary budget transfer increases or decreases the budget available to spend in the current fiscal year period. Not all budgets are permanently budgeted. Some one-time or short term activities as well as those activities where the amount changes from year to year are funded on a one-time basis via a temporary budget transfer.

*Example: The permanent operating budget is $6,000. A temporary budget transfer is processed in December increasing the operating budget by $1,000. The current (temporary) operating budget available for the current fiscal year is now $7,000. The permanent beginning July 1 operating budget for the next fiscal year will remain at $6,000.
What is a permanent budget transfer?
A permanent budget transfer increases or decreases funding in the permanent budget which changes the July 1 beginning budget for the next fiscal year. A permanent budget transfer may or may not impact the funding available during the current fiscal year.

*Example: The permanent operating budget is $6,000. A temporary (and permanent) budget transfer is processed in December increasing the operating budget by $1,000. Subsequently, the permanent beginning July 1 operating budget for the next fiscal year will be increased to $7,000.

Transfers of budget between different Fund types (e.g., State Aided to Revolving or Auxiliary or vice versa) are NOT allowed:
Each fund type is supported by a different revenue source, e.g., State Aided from State Appropriations and Tuition, Auxiliary from Bookstore or Optical Shop sales, etc. Each different revenue source must be used for expenses related to that source.

What is the difference between a temporary Budget Transfer and a GL Account Posting/Journal Entry Transaction?
Budget Transfer
A temporary Budget Transfer increases or decreases the budget to spend in the current year. It provides funding to a specific area or for a specific purpose.

* Example: The Dean is providing funding for the purchase of a departmental computer. The Dean’s office would use a budget transfer to increase the department budget for the computer purchase. The purchase would be charged to the department’s cost center. The Dean’s budget would be decreased (via debit) and the departmental budget would be increased (via credit).

CHAPTER 3: Section 3
Budget Process
The budget process is governed and guided not only by the Board of Regents but also by provisions of the Nebraska Constitution, state statutes and the “Rules of the Nebraska Unicameral Legislature.”

The following is a summary of the typical milestones and processes leading up to authorization of a full Nebraska biennial (two-year) budget which is enacted during regular legislative sessions held in odd-numbered years (the long, 90-day session).

July 15 — The Department of Administrative Services (DAS) issues forms and instructions to be used by state agencies for their budget requests. The Director of the Legislative Fiscal Office may suggest revisions, changes or additions to the forms before distribution. In recent years, the budget instructions have included a section developed by the Legislative Fiscal Office that restructures the agency budget request into a budget base (a specific percentage of current appropriations) plus a series of prioritized decision/spending packages above the base level up to the total request. The base level generally is some percentage less than 100 percent. The material supplements the standard, detailed line-item, fund account by budget program structure. (RRS 81-1113 and 81-113.01). Prior to a short session, budget forms are typically distributed in September.

September 15 — Agency budget requests are due in DAS Budget by this date; however, late submissions typically are received for several weeks thereafter. The Budget Office requires at least three copies of the official request documents, one of which is sent to the Fiscal Office and forwarded to the analyst on staff that is assigned the agency. Two copies are retained by the Budget Division; one for staff analyst use, the other is kept on file and is available for public inspection. Budget requests do not include personnel cost increases for items or issues that are subject to negotiations with employee bargaining units. Generally, these excluded costs are wage rate changes and other changes to compensation rates but may also include costs associated with benefits, such as health insurance. As these rates become known, costs are factored in to the budget process, usually early in the legislative session. (RRS 81-1113). Prior to a short session, requests are usually due in October.

September to January — From the time of submission of budgets in September to the first week of the legislative session, fiscal office staff analysts devote their time to understanding the requests of all agencies, boards and commissions, questioning agencies, and preparing briefing documents to be used later during the staff review phase with the Appropriations Committee. Actual budget documents are voluminous and detailed, sometimes more than 200 pages for one agency. The analyst must isolate the key issues embodied in the request, analyze alternatives and summarize their analysis. The analysis is presented in a standard format that is readable and efficient in communicating details of what has changed in the request versus current or prior years’ spending authorization. DAS Budget analysts similarly are engaged in conducting their own review during this time, working with the governor and staff toward formulating the budget recommendation of the governor.

Early Session — In odd-numbered years, the governor is required to submit a budget proposal by January 15, except that in the first year of office a governor may submit a proposal on or before February 1. The budget recommendation comes as a bill or bills, and there may be additional
explanatory material included such as a budget book or other handouts. The budget bill(s) are introduced by the Speaker of the Legislature at the request of the governor.

Appropriations bills routinely are referred to the Appropriations Committee. Substantive bills that are instrumental to the governor’s budget recommendation are referred to the standing committee having subject matter jurisdiction. Such substantive bills may or may not be offered at the same time as the appropriations bill(s) and are not subject to the January 15 deadline. During the first ten days of the legislative session other bills are being introduced by senators. Some of these bills will have financial impacts on the state if passed, and may require an appropriation to ensure implementation as planned. (RRS 81-125 to 81-126).

January and February — The Appropriations Committee meets with Fiscal Office staff to review and discuss the staff analysis of each agency budget request. The initial objective is to develop a preliminary recommendation and report to be submitted to the Legislature 20 to 30 legislative days after the governor’s budget submission, (Rules of the Nebraska Legislature, Rule 8, Section 2). The Appropriations Committee, after staff reviews, prepares a preliminary indication of funding levels considered for each agency and an overall analysis of the spending capacity of state government. These preliminary figures are based on current revenue forecasts, tax rate assumptions and compliance with the statutory reserve requirement. The “Preliminary Report” and the levels of appropriation estimated therein become the basis of discussion during subsequent public hearings with state agencies and other interested parties. During this time, standing committees (including the Appropriations Committee) are conducting hearings on the substantive bills referred to them. An integral part of the material available during the hearing is a Fiscal Note, produced by the staff of the fiscal office. The Fiscal Note is an estimate of the financial impact of the legislation, inclusive of expenditure and revenue impacts. (Rules, Rule 5, Section 6) The note becomes the basis for estimating what appropriation may be necessary if the bill becomes law.

March — The Appropriations Committee conducts public hearings on the budget during this time. Hearing notice is published in the Legislative Journal, listed by agency and bills referred to the committee. Agencies, interest groups and the general public are given the opportunity to comment regarding the preliminary recommendation of the committee, the agency request, the governor’s recommendation or any new issues or items of request not yet before the committee. Fiscal staff monitor the hearings and are not active participants. During this time, other committees are reporting bills that have had hearings to the floor. New appropriations bills, companions to substantive bills, having the same number but designated with an “A” following the number, are also appearing. These are “A” bills, (appropriations) that accompany the substantive bill and provide for the necessary spending authority to implement the legislation, (Rules, Rule 5, Section 6). “A” bills may be introduced at any time and generally are considered immediately following each stage of debate of the substantive bill. However, it is not unusual for a bill to advance to Select File before the “A” bill is introduced—it is not the preferred mode of operation but practical limits in bill drafting, analyzing amendments and refining cost estimates sometimes cause the delay.

April — Immediately following the public hearings, the Appropriations Committee meets to review all preliminary decisions, information obtained during the hearings and any other information brought to its attention. By this time, the impact of negotiated wage rates and benefits are known or the range of costs sufficiently narrowed to allow an estimate. For about two weeks the committee meets to complete a recommendation to be offered to the full Legislature. Fiscal staff help review all information. Once finalized, the recommendation is summarized into a budget book and other supplementary material for distribution on the legislative floor. Most importantly, fiscal staff write the budget bill or bills to be offered, (or if the governor’s bill or bills are to be used, amendments are drafted). The committee has until the 70th legislative day during a long session to place budget bills on General File. If the 70th day deadline is not met the governor’s bills are to be considered. During a short session, the deadline is the 40th legislative day (Rules, Rule 8, Section 5). Typically, more than one bill embodies the Appropriations Committee recommendation. One large bill appropriates most state funds, for operations and state-aid.

A second bill typically is offered to make appropriations for capital construction projects. Another bill provides for deficit appropriations, i.e. adjustments to appropriations previously authorized for the current year. It is not unusual for this bill to be considered early in the session well before other appropriations bills are on General File since some of these adjustments may be emergencies that apply to the current year and time left in the fiscal year is short.

The appropriations bills as offered by the Appropriations Committee and constituting their budget recommendation are processed much like other bills once they arrive on the floor of the Legislature. On General File, committee amendments (if any) are taken up first, followed by other amendments as filed. All other bills having a General Fund expenditure or a General Fund revenue loss are held on Final Reading and may not be read until the appropriations bills as offered by the Appropriations Committee pass. By rule, the bills representing the Appropriations Committee recommendation are to be placed on General File by the 70th day in a long session and by the 40th day in a short session. Failure to do so, according to rule, results in considering, “...the appropriations bills as introduced by the Governor.” By rule, the Legislature is to pass appropriations bills by the 80th day in a long session or the 50th legislative day in a short 60-day session.
(even-numbered years). One exception, during the short session, is that other bills may be read after the 45th day even though appropriations bills have not been passed. There is no penalty for not passing appropriations bills as provided by rule, other than the holding of bills during a long session. Though it is desirable to comply, circumstances such as volume of amendments, length of debate and full discussion of appropriations matters can extend passage of the appropriations bills beyond the prescribed deadlines (Rules, Rule 8, Section5).

**Late May** — Once appropriations bills have passed and been sent to the governor, the governor has five calendar days, excluding Sunday, to sign, not sign (but the bill takes effect), veto in total or line-item veto items of appropriation, (Nebraska Constitution, Article IV, section 15). Within one day of the return of appropriations bills to the Legislature with line-item vetoes, the Appropriations Committee must report on the impact of the vetoes and may offer a motion to override the total or part of the line-item vetoes. Subsequent motions may then be offered by the members of the Legislature (Rules, Rule 6, Section 14). The Constitutional requirement for a veto override is 30 votes. All final valid appropriations ultimately enacted take effect July 1 of the designated fiscal year or, if passed without the emergency clause, three calendar months after the end of the legislative session. Deficit bills making adjustments to current year appropriations with the emergency clause are effective immediately on passage (Nebraska Constitution, Article III, section 27).

**Short Sessions** — Relevant differences with a short session are noted above. Since a short session occurs in the middle of a biennial, two-year period, appropriations already are authorized for the following fiscal year. Consequently, the volume of issues and dollar value of decisions typically is less, though this will vary because of then-current fiscal conditions. Obviously time lines are different, but most of the above elements are part of a short session budget process, compressed into a period that ends with the Legislature’s adjournment, typically by mid-April.
CHAPTER 4

Strategic Planning

UNMC’s Strategic Plan for 2019-22.

CHAPTER 4: Section 1

Strategic Plan

The current strategic plan for UNMC for the next three years is as follows.

Strategy 1: 
EDUCATIONAL LEARNER FOCUS Establish UNMC and its educational programs as the most learner-centered university in health professions education.

Strategy 2: 
RESEARCH SCOPE & PROMINENCE Increase the research scope & prominence of UNMC as a top tier academic health sciences center.

Strategy 3: 
CLINICAL EXCELLENCE Establish UNMC and our clinical partners as a hub & spoke academic health system across Nebraska & beyond based upon quality care, patient experiences & clinical scope.

Strategy 4: 
INSTITUTIONAL OUTREACH Advance community outreach of UNMC to provide a healthier future for urban and rural Nebraska communities as well as national & global partners.

Strategy 5: 
DIVERSITY, EQUITY & INCLUSIVITY Advance the programs and culture of UNMC as an exemplary culturally sensitive, diverse & inclusive organization in its mission of transforming lives through premier education, innovative research, and extraordinary care.

Strategy 6: 
ECONOMIC DEVELOPMENT Diversify and strengthen the regional and global economic impact of UNMC’s educational, research and clinical programs.

Strategy 7: 
ORGANIZATIONAL CULTURE Strengthen faculty, student and employee loyalty, satisfaction & wellness by enhancing the organizational programs and culture.

Strategy 8: 
ORGANIZATIONAL LEADERSHIP Ensure exemplary campus-wide organizational leadership and management for planning, program development and implementation of all the UNMC mission driven strategic goals and initiatives.

Questions Regarding the Strategic Plan:
Dr. Rowen Zetterman, Associate Vice Chancellor for Planning
rzetterm@unmc.edu
402.559.3635

Susan Kraft Mann, Director and Assistant Vice Chancellor, Budget & Fiscal Analysis
skraftmann@unmc.edu
402.559.3544

Anne Bowen, Senior Assistant to the Chancellor
anne.bowen@unmc.edu
402.559.4368
CHAPTER 5
Need to Know Systems

There are two major Usernames that are used at UNMC: UNMC NET ID and the TRUEYOU ID.

These two ID’s will get you into a majority of systems related to work at UNMC.

CHAPTER 5: Section 1
Login ID

UNMC NET ID
This is your primary account for accessing EMAIL, logging into your computer and for most Campus Applications.

HOW TO CHANGE YOUR PASSWORD:
https://net.unmc.edu/netid/index.php

Questions or help should be directed to the UNMC Helpdesk: helpdesk@unmc.edu or 402.559.7700.

TRUEYOU ID
This is your ID/Password that works with entry and retrieving information directly from SAP or the Student Information System (aka PeopleSoft.) The TrueYou ID also logs you into Firefly where you have access to view paycheck stubs, edit your bank account information, and submit for travel and other leave.

The NUID and password you manage in TrueYou is used in the Student Information systems, SAP and Firefly systems at all University of Nebraska campuses (UNK, UNL, UNMC, UNO and NCTA) and Nebraska State Colleges (Peru State College, Chadron State College and Wayne State College).

HOW TO CHANGE YOUR PASSWORD:
https://trueyou.nebraska.edu/SelfService/

CHAPTER 5: Section 2
TRUEYOU Systems

Questions about access to SAP, TrueYou or Firefly should be submitted to the Firefly Helpdesk 402.559.BUZZ (2899) or unmcfirefly@unmc.edu.

Firefly
Firefly provides easy and secure access to employee and manager self-service information. Here is a link to a great beginner’s guide about Firefly.
https://firefly.nebraska.edu/irj/portal

SAP
SAP is UNMC and the University of Nebraska’s ERP system.
ERP systems are an entity’s primary system for record entry, processing and report production. SAP houses all financial, HR, budget and payroll information relevant to UNMC employees.

HOW TO LOGIN: Within FIREFLY, on the line of Business Applications choose the SAP logon tile.

SAPPHIRE
SAPPHIRE is the University of Nebraska’s online help system for SAP. It holds a wealth of documentation and how to documents.

HOW TO LOGIN: Within Firefly, on the line of Business Applications choose SAPPHIRE/SAP Documentation tile.

Student Information System (SIS) & My Records (formerly PeopleSoft)
The PeopleSoft system handles student information needs for all university and state college students, including course schedules, registration, financial aid and grades.

HOW TO LOGIN: https://myrecords.nebraska.edu
Contact paulo.shila@unmc.edu or call 402.559.7266 for help or with questions.
UNMC NET Systems

Academic Department Information System (ADIS)

HOW TO LOGIN: https://edge.unmc.edu/adis/

The Academic Department Information System (or ADIS) is used as a record retention of specific academic records. It provides consistent faculty credentialing and improves record storage and access. There are a few required documents must be entered into ADIS: annual evaluation, appointment letters, current CV, employment contracts, supplemental compensation agreements.

For Help, please contact:

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone</th>
<th>Email</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>Susan Welch</td>
<td>402.559.5187</td>
<td><a href="mailto:swelch@unmc.edu">swelch@unmc.edu</a></td>
<td>Use guidance</td>
</tr>
<tr>
<td>Dave Padgett</td>
<td>402.559.2059</td>
<td><a href="mailto:dpadgett@unmc.edu">dpadgett@unmc.edu</a></td>
<td>Application support</td>
</tr>
<tr>
<td>Nicole Becker</td>
<td>402.559.6664</td>
<td><a href="mailto:nicole.baker@unmc.edu">nicole.baker@unmc.edu</a></td>
<td>Application support</td>
</tr>
<tr>
<td>Workstation Support</td>
<td></td>
<td>Contact designated IT support for your department/unit</td>
<td>Connection difficulties</td>
</tr>
<tr>
<td>Steering Committee Representative</td>
<td></td>
<td>Contact designated IT support for your department/unit</td>
<td>New application development</td>
</tr>
</tbody>
</table>

Employee Service (ESS or ESERV)

Employee Services contains information related to UNMC ALERTS, Rewards and Recognition, Bookstore Lab Coat Requests, Purchasing-Card Applications, Parking requests (parking map), ITS/Telecom moves, adds or deletes and registration to “in-person” campus Training.

HOW TO LOGIN: https://net.unmc.edu/eserv/

Questions or help should be directed to the UNMC Helpdesk: helpdesk@unmc.edu or 402.559.7700.
Research Support Services (RSS)
RSS brings a new level of service directly to your lab. You can schedule services, see instrument calendars and view invoices directly with the new Core Facility application available online through RSS. RSS provides a secure portal for you to access your Core Facility expenses 24/7 from anywhere in the world. It is used for both scheduling and billing. You will receive an email notifying you that you have a “month end billing statement ready for viewing” when a Core Facility has completed their billing cycle.

**HOW TO LOGIN:** [https://net.unmc.edu/rss/](https://net.unmc.edu/rss/)

Contact research@unmc.edu or 402.559.8490 for access or help.

Management Resources

**HOW TO LOGIN:** [https://net.unmc.edu/mgmt/](https://net.unmc.edu/mgmt/)

Management Resources is a portal that houses multiple UNMC ITS built programs including Financial Management (Accounts Receivable, Account Sub-ledgers and Negative Balance Reports), UNMC Metrics, ITS Affiliate Account requests, Photo ID requests for non-UNMC employees and HR Exit Processing Forms.

Questions or help should be directed to the UNMC Helpdesk: helpdesk@unmc.edu or 402.559.7700.

People Admin

**HOW TO LOGIN:** [https://unmc.peopleadmin.com/login](https://unmc.peopleadmin.com/login)

PeopleAdmin is a cloud-based talent management solution for education and government. Its software enables organizations to improve operational efficiencies, to minimize risk, and to manage the entire talent management life-cycle. It automates and streamlines the hiring process. At UNMC, all non-faculty hires must be processed through People Admin.

**Gaining Access to People Admin:**

The form is on this page and titled, “Request for PeopleAdmin User Account Form.”

Definitions for user types are on the back and directions to submit are on the form.

FOR HELP in using PeopleAdmin or other questions about Employment, Application and Hiring, please contact jobs@unmc.edu or 402.559.5906, 402.559.4101 or 402.559.4071.

Canvas

**HOW TO LOGIN:** [https://www.unmc.edu/canvas.html](https://www.unmc.edu/canvas.html)

Canvas is UNMC’s learning Management System. To login, use your UNMC NETID username and password. UNMC Canvas courses are created upon request from the instructor. Canvas is a multi-functional system that can be used to submit assignments, communicate with faculty and fellow students, and take tests and more.

Most staff will only use Canvas to complete mandatory training, such as acknowledgment of online systems use, blood-borne pathogens training, workplace safety, etc.

Questions or help should be directed to the UNMC Helpdesk: helpdesk@unmc.edu or 402.559.7700.
CHAPTER 6

Procurement

The procurement office helps UNMC staff members with ordering and returning supplies, as well as managing the bid process.

CHAPTER 6: Section 1

Understanding the Policy Basics

Employees responsible for the purchase of goods and services at UNMC should conduct their procurement activities with the following “Code” in mind:

- Give first consideration to the objectives and policies of the University.
- Purchase without prejudice, seeking to obtain maximum value for each dollar expended on behalf of the University.
- Strive to continually increase competition in supplier selection and endeavor to prevent any collusive activities among suppliers. Avoid soliciting or accepting money, loans, credits and acceptance of gifts, entertainment, favors, or services from present or potential suppliers that may influence, or appear to influence supply management decisions.
- Refrain from any private business or professional activity that would create a conflict between personal interests and the interests of the University.
- Treat information of a confidential or proprietary nature to the University and/or suppliers with due care and proper consideration of ethical and legal ramifications and governmental regulations.
- Promote positive supplier relationships through courtesy and impartiality in all phases of the procurement cycle.
- Refrain from reciprocal agreements, which restrain competition.
- Do not use University purchasing systems for personal purchases, or use University buying power for personal benefit.

In addition, the UNMC Principles of Financial Stewardship Policy also gives additional basic guidance where the expenditure of UNMC funds is involved.

The Board of Regents Purchasing Policy gives UNMC the authority to conduct its procurement activities on an “informal” basis for purchases less than $150,000. Per Board Policy, purchases of $150,000 or more must be made via a “formal” competitive bid process. It is important to note that the Board is clear that purchases under $150,000 are also processed on a competitive basis, although in an informal manner – by written requests for quotations.

Additional information on the formal and informal processes is presented later in this chapter.

Finally, it is important to read and understand the UNMC Purchasing Policy as well.

Questions regarding Procurement Services:

Robert Jennings, Director of Procurement and Material Management
robert.jennings@unmc.edu
402.559.9688

Victoria Zajac, Manager of Procurement and Contract Management
victoria.zajac@unmc.edu
402.559.9206

Procurement Systems

Pre-Negotiated Catalogs
Automated Workflow
Ensure Audit Compliance
Issue Purchase Orders & pay invoices
Attach Documentation / Reduces Processing Times

The Procurement Card Program (pCard) is a purchasing method to make low-dollar, non-recurring purchases totaling $4,999 or less when the use of eSHOP is not viable.
CHAPTER 6: Section 2

The “Three (Best) Ways” to Make a Purchase

Generally, the commitment of university funds should only be made using the following means:

- An official university purchase order (PO) issued through UNMC’s eSHOP.
- An official university purchasing card (P-Card) transaction.
- A contract approved by Contracts.

Purchase Order

A Purchase Order (PO) is a legal document used by the University, authorizing a supplier to provide a product or service to the institution. It is encouraged that all products/services with a purchase price of $5,000 or more must be order via a Purchase Order. See the Direct Pay section, in this Chapter, for exceptions to this.

PO Process Overview

1. Obtain quote or complete bid process
   a. For small purchases ($10,000 – $150,000), the procedures are relatively simple informal procurement methods for securing services, supplies or other property that cost less that the competitive bid level. An adequate number of comparable quotes is requested.
   b. For purchase over $150,000, that are not sole sourced procurement, will formally do a request for proposal.
2. Create a Purchase Order using eSHOP (preferred).
3. Attach quotes or sole source documentation.
4. Procurement Services approves PO.
   - eSHOP Purchase Order is sent electronically.

eSHOP is the Preferred Method to Create a PO

eSHOP is a web-based ordering tool that provides UNMC with the most streamlined, cost effective way to place orders with suppliers. End-users have the ability to create requisitions for a range of items; from pens and keyboards to custom servers and furniture orders. Generally, if you are utilizing a supplier in the eSHOP marketplace, you are obtaining the best value for UNMC. Contact Procurement Services if you or an employee needs access to eSHOP.

Suppliers in eSHOP fall into two general categories:

- **Enabled** – these suppliers have “catalogs” of commonly used items available for electronic browsing and purchase. The vast majority of purchase transactions at UNMC are completed using the enabled suppliers in eSHOP. At UNMC, these transactions include both office and lab supply purchases. Enabled Vendor Quick Guide
- **Non-catalog** – orders from any supplier available in eSHOP. Non-Catalog order Form Quick Guide

eSHOP is a very robust system and your ability to know and transact procurement activities within it are key to your procurement success. UNMC has talented full-time eSHOP specialists available at any time to consult with you. Or if you have a quick question/issue that needs resolution; just contact the Procurement Services Help Desk at 402.559.5400. Visit the eSHOP Website for additional online information.

P-Card

A UNMC Purchasing Card is available for employees to make purchases under $5,000 or the limit specified to the cardholder. P-Cards are a purchasing tool for use with suppliers who do not accept Purchase Orders or for emergency situations. Remember, not all purchases under $5,000 can be made on a P-Card even when these two conditions exist. Make sure that the transaction falls within the P-Card policy prior to using it. Visit the Purchasing Card Website for additional information on the P-Card program, including allowable/unallowable transactions.

Procurement Services encourages the use of eSHOP (if possible) versus the use of a P-Card.

eSHOP vs. P-Card benefits include:

- Electronic approvals prior to purchase, rather than after the purchase.
- Purchase documentation stored in eSHOP electronically, instead of file cabinets with paper receipts and approvals.
- eSHOP transactions do not carry an additional time-consuming “reconciliation” process.
- Pre-negotiated pricing is available in eSHOP. It’s possible that you may still find better pricing online, but remember that eSHOP is an end-to-end electronic transaction, sometimes taking seconds; where the “deal” may involve more time by employees to reconcile a card transaction.
The final means to purchase/commit UNMC funds is a contract approved by Procurement Services. The Board of Regents grants very limited authority on who may sign a contract. At UNMC, those persons are designated in this table.

Executing a contract committing UNMC funds at any dollar level is against Board Policy and can leave someone personally liable.

“Contracts” take many forms. Procurement Services is always available to assist with your contract needs and you may utilize this Quick Reference on common contract questions and processes.

A direct pay is a payment on an invoice for goods or services. All goods, equipment and services should be purchased with a PO or P-Card, but there are (limited) transactions appropriate for direct pays. Additional information on this method of payment is available at the Payment Services Website.

Common transactions for which a “direct pay” is appropriate are as follows:

- Advertisements – Job Ads, Sales Ads, Facility BidAds
- Dues and Subscriptions
- Food Suppliers for Official Functions
- Memberships
- Registration and Conference Fees
- Rent of Real Property
- Royalties and Performing Artist Fees
- Student Refunds
- Consult Procurement Services for all others

CHAPTER 6: Section 3

Involving Procurement Services in Your Purchase of Goods or Services

As noted earlier in this chapter, the Board of Regents policy on the purchase of goods and services at the campus level is delegated to UNMC Procurement Services. Procurement Services is always ready, willing and able to assist any UNMC College, Department or Institute with any purchase, regardless of complexity or dollar level.

Formal Competitive Bid

A formal Bid is required for all purchases $150,000 or greater. When you are contemplating a purchase of $150,000 or more, it is imperative that you contact us at the earliest possible time.

Purchases at that level require a formal competitive bid process which may only be conducted by Procurement Services. There are limited exceptions to this rule:

- Purchase of unique or non-competitive articles or services, such as public utility services, telephone services, books, pamphlets, and periodicals and specially designed business, research or scientific equipment and related software. These are sometimes referred to as “sole source.”
- Contracts for professional services.
- Purchases necessary in emergency situations.
- Maintenance or servicing of equipment with the manufacturer or manufacturer’s authorized service agent.
- Purchase from purchasing cooperative, U.S. government or any agency thereof, state of Nebraska or any political subdivision, any governmental or public entity created by an inter-local agreement or any private or public postsecondary educational institution.
**Sole Source**

Sole source purchase shall mean that the item or service is limited to one provider or when the item is limited to one brand, but available from more than one source.

A restrictive sole source, proprietary specification shall not be used, except in cases of emergency or in cases involving the purchase of unique (including matching existing equipment or software) or non-competitive items or services. Each request for a sole source purchase shall be accompanied by a signed written justification from the requesting unit, which includes a non-conflict of interest statement. **Sole source purchases greater than $10,000 per Uniform Guidance effective 7-01-2018 (2CFR 200.317-326), and that would normally require competitive bid, must be approved prior to purchase by the UNMC Assistant Vice Chancellor for Business and Finance and a Procurement authorized signator.**

**Purchases of Goods or Services Greater than $2,000,000**

Contact Procurement Services at the earliest possible moment for purchases of goods or services in excess of $2,000,000. It is possible/likely that they will require Board of Regents Approval prior to purchase.

**Informal Purchases of less than $150,000**

Per Board of Regents policy; any purchase $10,000 – $150,000 is not subject to a “formal” competitive bid process. However, the Board in its policy makes it clear that quotes are to be used to gain UNMC the greatest possible value.

**Quotes**

Obtaining quotes for goods or services from multiple suppliers is a great way to ensure you are getting the best value. Departments obtain quotes in writing (electronic or hard copy) by providing suppliers with the specifications/description of the items or services needed. The following are guidelines on when you should obtain a quote:

- **$0-$9,999:** Quotes are not required. What you are looking for may be available in eSHOP.
- **$10,000-$149,999:** Quotes are recommended and likely will result in a lower price. Also includes a reasonable number of comparable quotes.

**Specific Purchasing Requirements**

Because of federal, state, local and university requirements, requisition review and approval is required, prior to the issuance of a purchase order, for the following:

**Animal purchases** – To ensure UNMC complies with Public Law 89-544 (Animal Welfare Act) and other applicable federal regulations, requisitions for animals must be coordinated and approved by Comparative Medicine, 402.559.4034.

**Radioactive materials** – Requisitions for radioactive materials must be coordinated and approved by the Radiation Safety Officer as required by the Nebraska Department of Health and Human Services and UNMC’s Radioactive Materials License #01-50-01.

**Capital equipment** – The specifications of equipment which meet any of the following criteria shall be reviewed by Facilities Management and Planning before a purchase order is issued:

- Equipment or systems which may require special building system support such as steam, chilled water, heating, ventilation, air conditioning, major electrical, fire protection or plumbing (e.g. fume hoods, biological cabinets, sterilizers, ice machines, etc.)
- Equipment for systems which are exceptionally bulky and/or heavy

**Capital equipment for research** – Purchase requests for capital equipment valued at $50,000 or greater and used primarily for research purposes must be reviewed by the VCR Office prior to finalizing the purchase (issuance of a purchase order). This process not only prevents the unnecessary duplication of expensive equipment, but also allows the tracking of the availability of technology on campus in order to maximize use of available equipment.

**Moving companies** – Authorized moving expenses for the transportation of personal household goods of new employees or relocation of full-time employees should be made solely to UNMC’s contract carrier, except as approved and authorized by the Vice Chancellor for Business and Finance or designee. Contact Payment Services for more information.
CHAPTER 7
Travel

University of Nebraska (NU) Travel is an integral part of the University in its mission of education, research and outreach. Connecting with the University’s many constituencies, whether it be within our 500 mile state-wide campus or executing on our national and global initiatives, is vital to our success – as is investigating, learning and sharing worldwide.

CHAPTER 7: Section 1

Introduction

Travel requests, booking, and expenses

Concur is the university and state college travel application where employees from each campus will utilize the same travel tools. All travel requests, expense reports, and approvals will be processed through Concur.

Travel Management Company

Travel & Transport is the official travel management company for the university. Assistance for Concur travel booking, managed by Travel & Transport, can be accessed from the company notes section within the Concur application. Other University-contracted booking agencies include Southwest Airlines Corporate Travel, Hotels.com, and Anthony Travel (UNL athletics only).

University Travel Office

The NU Travel Office works to assist in the travel process, providing guidance and training to University travelers, departments, or groups with questions and/or special travel requirements. The travel office is the liaison between the traveler and our travel management company, Travel & Transport, and navigating negotiations between the university and airlines, hotels, and other travel-related contracts. The travel office also works closely with campus accounting offices and payment/reconciliation personnel in the u-wide procurement function.

Concur

The Concur Request, Booking & Expense Tile as well as the University Travel Center are accessed via single sign on with Firefly. Firefly.nebraska.edu

University of Nebraska Travel Website

University Travel Office
https://nebraska.edu/travel
402-554-3456

CHAPTER 7: Section 2

Step 1 – Plan Your Travel

All Travelers are required to submit a Concur Pre-Trip Request prior to each separate Travel Status instance. This includes Travel Status trips with no associated business expenses to the Traveler or University.

All Pre-Trip Requests will require approval by the Traveler’s Supervisor Approver and Financial Approver for all funding sources. Pre-Trip Requests are required prior to any bookings and/or payments or reimbursements for travel expenses. Blanket Travel Authorizations require a single Pre-Trip Request at the beginning of each fiscal year.

Book your airfare, hotel and/or rental car.

This should all be done using the Concur tile within Firefly using your single sign-on.

Register for your conference (if applicable).

UNMC Purchasing Cards may be used to pay for conference registration.

Miscellaneous

United Health Care: The University of Nebraska has established an international travel insurance policy through UnitedHealthcare Global. All NU faculty and staff who are full-time employees are automatically covered by this policy when they travel outside of the United States on University of Nebraska business. University of Nebraska students, including student employees, should contact the Education Abroad office on their campus to purchase coverage before their departure.

Air Ambulance: Travel outside the Continental United States requires Air Ambulance Evacuation Insurance. The policy number must be included in the comment section of the Travel Authorization when submitted for pre-approval by the Vice Chancellor for Business and Finance, or designee.

To purchase an Air Ambulance Card, please login to the website found https://www.airambulancecard.com/unmc
Air Ambulance may be purchased using a UNMC Purchasing Card.

**Visas:** Visas may be needed for travel outside of the United States. Visa expenses will be paid or reimbursed by UNMC. Passports are considered personal expense and are not reimbursable.

Chapter 7: Section 3

Step 2 – Travel

We recommend using the Concur Mobile App to download your receipts and track your expenses. A Travel Quick Reference Guide for the Concur Mobile App is available here.

Detailed receipts are required for reimbursement. Alcohol is not reimbursable.

A Concur Tip Sheet Travel and Non-Travel Expense Reimbursement Checklist is available on the University Travel Center Tile in Firefly. [https://nebraska.edu/-/media/unca/docs/concur-help/tip-sheet/travel-expense-reimbursement-checklist.pdf](https://nebraska.edu/-/media/unca/docs/concur-help/tip-sheet/travel-expense-reimbursement-checklist.pdf)

Chapter 7: Section 4

Step 3 – Complete Your Expense Report

**Meals:** Employees will only be reimbursed the actual amount spent on meals. Meals over $5 require an itemized receipt. The state sets the maximum amount that an employee can claim for the total cost of food each day by the GSA meal guidelines.

Traveling Day meal reimbursement

<table>
<thead>
<tr>
<th>One-Day Travel Meal Allowances*</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Breakfast</strong></td>
</tr>
<tr>
<td>Departure time is at or before 6:30 a.m.</td>
</tr>
<tr>
<td><strong>Lunch</strong></td>
</tr>
<tr>
<td>Not allowed</td>
</tr>
<tr>
<td><strong>Dinner</strong></td>
</tr>
<tr>
<td>Return time is at or after 7 p.m.</td>
</tr>
</tbody>
</table>

*Reimbursements for one-day travel food expenses are reportable on the employee’s W-2 if the total expenses are greater that $200 from December 1 to November 30 (twelve-month period).

Reimbursement Deadline: All reimbursements must be submitted by the traveler within 60 days of the last date of travel. Reimbursements submitted after 60 days will not be paid per State of Nebraska Statute.

Chapter 8

**Sponsored Programs**

Awards and contracts that are received from Federal, State and Local governments, non-profit entities, businesses and educational organizations.

Chapter 8: Section 1

**Introduction**

Effective sponsored project management is a collaborative effort among:

- Departmental Administrators
- Principal Investigators
- Sponsored Programs Administration
- Sponsored Programs Accounting

**Departmental Administrators**

As the departmental administrator, you are responsible for assisting principal investigators with the completion of internal and external, paper and electronic forms. On the post award side, Administrators must ensure that all sponsored expenditures comply with federal and State regulations, UNMC policies and the terms and conditions of an award. Even though PI’s have the ultimate responsibility for awards, the Administrator cannot delegate their fiscal responsibility to their staff.

**Principal Investigators**

The Principal Investigator (PI) is responsible for leading the project, both intellectually and logistically. In addition to conducting the project, the PI ensures that the technical, financial and administrative information provided to the Sponsored Programs offices is accurate and complete.

**Sponsored Programs Administration (Pre Award)**

Sponsored Programs Administration (SPAdmin) is responsible for facilitating the PI’s pursuit and management of external funding while ensuring UNMC complies with applicable policies. SPAdmin:

- Reviews, approves, and submits applications for external funding
- Reviews, negotiates, and executes sponsored project agreements
Processes changes in project direction, budget and end date
Serves as UNMC’s authorized official for applications, certifications and agreements

Questions regarding Pre-Award contact:
Beth DeCarolis, Interim Director
bdcarolis@unmc.edu
402.559.7424

Sponsored Programs Accounting (Post Award)
Sponsored Programs Accounting (SPAct) is responsible for ensuring that external funding is managed in compliance with UNMC and sponsor policy.
SPAct:
• Reviews transactions made in SAP
• Invoices sponsors for payment
• Submits financial reports
• Reconciles accounts for financial closeout

Questions regarding Post-Award contact:
Linda Combs, Manager
lvondras@unmc.edu
402.559.5825

Lifecycle
You will take certain actions on the sponsored project, depending on where that project is in its lifecycle.
• Pre-Award
• Just-in-Time
• Award Set-up
• Post-Award
• Closeout

CHAPTER 8: Section 2
Pre-Award
Contact SPAdmin as soon as you know that your PI is planning to submit an application or otherwise participate on a sponsored project. Your SPAdmin contact will discuss the next steps with you, including:
• Sponsor guidelines
• Application forms
• UNMC internal forms
• Deadlines
• Other special considerations

Creating a Budget
A proposal budget is your best estimate of how the funds will be used to support your project. Sponsors understand that actual expenses might be different and allow for some variance.
You will enter budget information in two places:
1. Internally – ADIS Internal Forms
2. Externally – Application
SPAdmin will review your budget in ADIS Internal Forms and verify that your application budget matches.

ADIS Internal forms must be completed before SPAdmin submits your proposal. ADIS Internal Forms:
• Provide basic information about your proposal
• Ensure that appropriate amounts and rates are used to create your budget
• Document institutional approvals

UNMC’s accounting system is based on line-items, some of which are described below. A sponsor might require that our line-item budget be “translated” into a per-deliverable fee structure (e.g., $2,500 per patient enrolled in a clinical trial).

Direct versus Indirect Costs
A sponsored project budget is made up of two types of costs:
• Direct
• Indirect, or Facilities and Administrative (F&A)
Direct costs can be identified specifically for a project relatively easily and with a high degree of accuracy. Indirect costs are incurred for a common purpose and benefit multiple projects, which cannot be easily identified. UNMC’s accounting system treats certain administrative costs as F&A, such as:

- Clerical salaries
- General office supplies

On a limited case-by-case basis, the Sponsored Programs offices will consider directly charging administrative costs to a sponsored project, with adequate justification. Contact SPAdmin to discuss your justification. This request will be submitted in ADIS Internal Forms.

**Direct Costs: Salaries**

- “Institutional base salary” (IBS) includes:
  - UNMC base salary
  - Specified UNMC stipends
  - Nebraska Medicine base salary
  - Nebraska Pediatric Practice base salary
- IBS excludes:
  - Supplemental compensation
  - One-time payments
  - Nebraska Medicine bonus payments
  - Nebraska Pediatric Practice bonus payments
  - Veterans Affairs (VA)salary
  - Outside employment

IBS may not be increased as a result of replacing UNMC funds with sponsored project funds. Increases of 10% or more during the fiscal year must be approved through Human Resources.

Some sponsors may impose a salary cap. For example, for NIH and other Health and Human Service agency grants, the Consolidated and Further Continuing Appropriations Act, 2015 (Public Law 113-235) limits IBS to Executive Level II of the Federal Executive pay scale – currently $183,300.

**Direct Costs: Fringe Benefit Rate**

UNMC negotiates fringe benefit rates with the Cost Allocation Services, a division of the Health and Human Services (HHS) on an annual basis. As with our Facilities and Administration negotiation process, HHS is UNMC’s cognizant agency, because UNMC receives a majority of its federal funding from this agency. The department of Financial Compliance and Cost Analysis – part of Business and Finance – is responsible for determining the fringe benefit and F&A rates.

Prior to FY2014, UNMC charged actual Fringe Benefit Costs to each funding source per person. Actual benefits charging meant that budgeting for benefits on sponsored projects did not correlate to what was actually charged. A flat rate (traditionally 28%) was used as the benefits rate for all employees on sponsored projects.

In order to better serve the campus, streamline budgeting and costing activities, all funding sources at UNMC are charging the same fringe benefit rates per Employee Classification.

With a fringe benefit rate, a calculated average rate is both budgeted and charged to grants. The rates should be all inclusive of costs per fringe group classification. The rates contain multiple costs including: Health insurance, Sick and Vacation Payouts, Employee Tuition Remission, Retirement Contributions, FICA Tax, Life Insurance Unemployment Compensation and Worker’s Compensation. The fringe rates are only applicable to the employer’s share (UNMC’s share) of expense and does not relate to what is withheld from an individual’s paycheck.

With acceptance of Fringe Benefit rates, UNMC should not be charging for other “benefit expenses” outside of the fringe benefit rates.

Determination of an employee’s classification should be fairly intuitive, as Faculty/PI’s will likely have the faculty rate; while tech’s and other non-faculty will either be Post-Docs, Graduate Assistance or Staff. The classification is based on an employee’s HR IT0001 screen in SAP. Individuals that are paid from multiple campuses will have actual benefits charged, as the other campuses have not accepted a fringe benefit rate.

For more information about how employees are classified, email Michael Hrncirik at mhrncirik@unmc.edu.

Our current federally-negotiated rates for FY 2020 are:

<table>
<thead>
<tr>
<th>Rate</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>27.9%</td>
<td>Faculty</td>
</tr>
<tr>
<td>26.2%</td>
<td>House officers</td>
</tr>
<tr>
<td>34.5%</td>
<td>Staff</td>
</tr>
<tr>
<td>30.6%</td>
<td>Post docs</td>
</tr>
<tr>
<td>0.5%</td>
<td>Graduate assistants</td>
</tr>
<tr>
<td>5.0%</td>
<td>Students</td>
</tr>
<tr>
<td>8.0%</td>
<td>Temp personnel</td>
</tr>
</tbody>
</table>
Direct Costs: Equipment

Equipment is tangible property that:
• Has a useful life of more than one year
• A per-unit cost of $5,000 or more

Direct Costs: Subcontracts

Your PI may want to work with an investigator at another university or organization. If that organization:
• Has its performance measured in relation to whether the objectives of the sponsored project were met
• Has responsibility for programmatic decision-making
• Is responsible for adherence to applicable program requirements
• Uses the award to carry out the project for a public purpose (as opposed to provide goods or services to UNMC)
...Then UNMC would treat that organization as a sub-recipient. Sub-recipients are entitled to F&A costs at their negotiated rates.

Indirect Costs

Indirect costs are similar to what people would think of as overhead items and the more descriptive term is F&A costs. F&A stands for facilities and administrative and represents costs that are not directly assignable to a particular project or objective. To make sponsored programs administration easier for both the government and Universities, the government has Cost Allocation Services (a division of Health and Human Services, our cognizant federal agency) periodically negotiate an F&A rate with UNMC to update F&A rates to more closely align to costs the institution bears to conduct sponsored projects. Once approved, these rates are disseminated to all federal agencies and should be used for all sponsored projects at UNMC.

These rates are developed by Financial Compliance and Cost Analysis (a part of Business and Finance). Not accepting the full F&A rate is tantamount to giving money away to these sponsors (or cost sharing), as UNMC proves these costs to the Federal government during the proposal process.

F&A reimbursement is valuable money for UNMC, both at the leadership level as well as to individual departments and to PI’s. Approximately 20% of the F&A generated from grants is given directly back to Deans/Directors of each College/Unit. The other portion is used for sponsored projects infrastructure. This money is extremely important to the campus and UNMC would not be able to conduct valuable research without it.

Examples of F&A costs are:
• Salaries and fringe benefits for
  » Departmental administrators
  » Sponsored programs administrators
  » Sponsored programs accountants
  » The chancellor’s salary
• Office supplies
• Computer and telecommunication services
• Utilities
• Costs of the UNMC Library

Federal guidance on determining what is F&A costs and what are direct costs are given in Uniform Guidance. The determination of direct vs. indirect costs is not clear cut and relates to the costing principles. Contact your Sponsored Programs representative for more information about how to classify specific costs.

UNMC negotiates F&A rates with the federal government. Our current federally-negotiated rates for FY2018 are:

<table>
<thead>
<tr>
<th>Rate</th>
<th>Base*</th>
<th>Sponsor</th>
<th>Project Type</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>52.5%</td>
<td>MTDC</td>
<td>Federal (except Dept of Defense)</td>
<td>Research</td>
<td>On Campus</td>
</tr>
<tr>
<td>51.5%</td>
<td>MTDC</td>
<td>Dept of Defense</td>
<td>Research</td>
<td>On Campus</td>
</tr>
<tr>
<td>30%</td>
<td>MTDC</td>
<td>Federal</td>
<td>Instruction</td>
<td>On Campus</td>
</tr>
<tr>
<td>38%</td>
<td>MTDC</td>
<td>Federal</td>
<td>Public service</td>
<td>On Campus</td>
</tr>
<tr>
<td>26%</td>
<td>MTDC</td>
<td>Federal (except Dept of Defense)</td>
<td>All</td>
<td>Off Campus</td>
</tr>
<tr>
<td>27%</td>
<td>MTDC</td>
<td>Dept of Defense</td>
<td>All</td>
<td>Off Campus</td>
</tr>
</tbody>
</table>

UNMC has also established the following rates for industry-sponsored projects:

<table>
<thead>
<tr>
<th>Rate</th>
<th>Base*</th>
<th>Sponsor</th>
<th>Project Type</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>52.5%</td>
<td>TDC</td>
<td>Industry</td>
<td>Research (except clinical trials)</td>
<td>All</td>
</tr>
<tr>
<td>26%</td>
<td>TDC</td>
<td>Industry</td>
<td>Clinical trials</td>
<td>All</td>
</tr>
</tbody>
</table>
The F&A rate is applied to either:

- Total Direct Costs (TDC) – All direct costs
- Modified Total Direct Costs (MTDC) – All direct costs, except:
  - Equipment
  - The value of each subcontract over $25,000
  - Tuition remission
  - Participant support
  - Patient care

UNMC requires that sponsored project budgets include the appropriate amount of F&A, based on the rates above.

If a sponsor’s policy is to provide F&A at a different rate, UNMC will accept that rate, with proper documentation.

On a limited case-by-case basis, the Vice Chancellor for Research office will consider reducing or waiving the F&A rate, with adequate justification.

Contact SPAdmin to discuss your justification.

You will submit your request to reduce or waive in ADIS Internal Forms.

Inflation Factor

You can choose to include a reasonable inflation factor in ADIS Internal Forms to accommodate anticipated increases in personnel and other costs over the period of performance. A reasonable inflation factor is currently between three and four percent (3% - 4%) per year.

Note, some sponsors will remove any inflation factors before determining an award amount.

Cost-share

Cost-share (or match) are sponsored project costs that are not paid by the sponsor. UNMC requires that cost-share be limited only to the level required by the sponsor, because:

- Exceeding the level required by the sponsor rarely improves the likelihood of an award
- Identifying, tracking, and reporting cost-share is administratively burdensome
- Cost-sharing salary prevents recovery of personnel expenses from other sources
- Cost-share negatively impacts UNMC’s F&A rate negotiations

On a limited case-by-case basis, the Sponsored Program offices will consider voluntary cost-sharing, with adequate justification.

Contact SPAdmin to discuss your justification. You will submit your request to cost-share in ADIS Internal Forms.

Program Income

Program income is any income generated directly by your sponsored project during the period of performance, such as:

- Fees paid by outside entities to attend a UNMC conference supported by a conference grant
- Fees paid by outside entities to use UNMC equipment purchased by a grant

If program income is generated, the sponsor will determine if it is:

- Deducted from the total amount the sponsor will pay UNMC
- Added to the total project budget
- Used to satisfy a cost-sharing requirement

Program income is not common.

CHAPTER 8: Section 3

Just-in-Time

After a proposal is submitted, but before an award is made, a sponsor may request additional and/or updated information.

Effort

A sponsor might ask for updated “Other Support,” which shows all of an investigator’s active and pending projects, to determine whether there is any overlap with the proposed project.

Note, your faculty member generally does not need to commit any effort when he or she is:

- A mentor on a training grant, for which the student is named as the PI
- The PI of an equipment or construction grant

All time spent on UNMC responsibilities is considered part of one’s total university effort, even if it occurs during evenings or weekends. Sponsors do not recognize time spent serving on committees or writing grant proposals as one’s “free-time.”

Note: Training and career development awards may cover an individual’s total university responsibility. Also, technicians and other non-faculty
personnel’s responsibilities may be completely inside the scope of sponsored projects.

**Human and animal research subject approval**

If your research project includes human or animal subjects, UNMC’s Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC) must review and approve your research protocol. Sponsors require documentation of IRB or IACUC approval before releasing an award. Human and animal subject costs cannot be charged to a sponsored project account without IRB or IACUC approval.

**Advance Accounts**

If there is high likelihood that your project will be funded, consider establishing an advance account. An advance account allows you to begin charging start-up costs to an account, before the award is received. This minimizes the need to transfer charges onto the sponsored project account after the award is processed.

Note, should the award not materialize, your department is responsible for any charges to the advance account.

Contact SPAdmin to discuss the benefits and risks of setting up an advance account for your project. You will submit your request for an advance account in ADIS Internal Forms.

Note, advance accounts cannot be set up for projects that were not processed by SPAdmin during the Pre-Award stage.

**CHAPTER 8: Section 4**

**Award Set-up**

Administration of sponsored programs requires compliance with applicable UNMC and sponsor policies. These policies follow an order of precedence:

- State of Nebraska Regulations
- UNMC Policies
- Award Terms and Conditions
- Program Guidelines
- Sponsor Terms and Conditions
- Uniform Guidance

In practicality, this means that even if a sponsor does not specifically prohibit a particular action, UNMC policy might require an alternative course of action.

Your proposal, including the budget, was your best estimate of how the project would proceed. Sponsors understand that your project might proceed differently and has processes in place for making changes.

**PCS Codes**

UNMC, like most universities, use Program Classification Structure codes, which impact:

- WBS numbering
- Reporting
- Applicable F&A rate

The most common classification for UNMC sponsored projects are Research, Instruction and Public Service.

**Research** (2), both basic and applied, is a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. It also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research activities.

**Instruction** (1) is teaching and training activities:

- Whether they are offered for credits toward a degree or certificate or on a non-credit basis
- Whether they are offered through regular academic departments or separate divisions

**Public Service** (3) projects otherwise fit UNMC’s mission to lead the world in transforming lives to create a healthy future for all individuals and communities through premier educational programs, innovative research and extraordinary patient care.

**ADIS Search Bundles**

SPAdmin will save copies of formal documentation for you to access in ADIS Search Bundles.

**Checklists** are used when the award amount is being changed:

- New project set-up
- Non-competing continuations
- Supplements
- Renewals
Halfsheets are used if the award amount is not being changed:

- No-cost extension
- Re-budgeting
- Approval to charge administrative costs directly to a project
- Subcontract-out being executed
- Subcontract-out being amended

CHAPTER 8: Section 5

Post-Award

Basics of Financial Compliance at UNMC for Grants and Contracts

Accounting:

Departmental administrators and staff, who enter or approve pay-roll allocations and/or any GL transaction that impacts grants or contracts, are the key to proper grant and contract accounting at UNMC; they are the foundation of financial compliance at UNMC.

Here are a few important points to keep in mind:

- Sponsored Program Accounting staff could never “audit” every transaction, so they place some reliance on the departments to do their part as part of internal controls.
- The departmental accountant must follow UNMC grants and contracts policies 6100 to 6108 (refer to the Compliance chapter) and should contact SPAct with any questions or concerns.
  - Reach out to Sponsored Programs Accounting for support, if any faculty (including a Principal Investigator) or staff were to tell you to make an unallowable or improper GL entry.
  - “All UNMC staff and students are expected to understand and follow regulations and policies applicable to their responsibilities. Staff and students are encouraged to report compliance concerns to maintain the integrity of UNMC’s education, research, patient care and outreach mission.”

> “Honest and ethical conduct is expected in all aspects of UNMC work from every employee, especially those employees who have been entrusted with handling UNMC’s financial affairs. These guidelines are applicable to all UNMC employees.”

- Attend the Research Administrators forums; education, training and best practices, will be provided along with time to discuss questions and to share ideas.
- Attend other training opportunities at UNMC, other sites, or webinars.

Changes to Project and Budget

In general, UNMC must seek prior approval from a sponsor for:

- Change in the scope of work
- Change in key personnel
- Disengagement of the PI for more than three months or a 25 percent reduction in effort
- Transfer of funds budgeted for participant support costs
- Transferring or contracting out of work

In general, UNMC is allowed to take the following actions without prior sponsor approval:

- Incur 90-day pre-award costs
- Initiate a one-time no-cost extension up to 12-months
- Carry forward unobligated balances to subsequent budget periods, unless specified in the award that prior approval is needed

Allowable Costs

Sponsored Programs Costing Policy: [https://wiki.unmc.edu/index.php/Sponsored_Programs_Costing](https://wiki.unmc.edu/index.php/Sponsored_Programs_Costing)

To be allowable, a charge to a sponsored project must:

- Be necessary
- Be reasonable
- Conform to award terms and conditions
- Be consistent with other UNMC charges, in like circumstances
- Be in accordance with Generally Accepted Accounting Principles
- Be adequately documented
- Be allocable to the project
Monitoring

All sponsored project contracts are monitored by Sponsored Programs Accounting to insure that any costs charged to a project are appropriate and allowable. This monitoring is done throughout the life of the contract, and charges are reviewed at the time of closing of the project.

Federal Contracts:
- Federal contracts are governed by Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (commonly referred to as “Uniform Guidance” or “UG”); and by
- Relevant Federal Acquisition Registers (FAR) when determining if certain costs are allowed; and
- Additional restrictions may be imposed by the awarding agency and should be included in the contract and fully shared with Sponsored Programs Accounting.

Other contracts (non-Federal):
- With contracts that are not issued by the Federal government, the sponsor will generally specify if there are certain costs that are not allowed under the contract.
- If the sponsor does not specify any exclusions, the charges are reviewed for allowability.
- If these charges are directly related to the work on the project and are not disallowed under any other policy or guideline, such as State of Nebraska or UNMC policy, they will be allowed.

Any questions regarding the allowability of an expenditure should be directed to the Sponsored Programs Accounting department.

Effort Certification

Policy: https://wiki.unmc.edu/index.php/Effort_Certification

As a requirement of federal guidelines – for over 25 years – effort certification was required for all universities who conducted federally sponsored projects.

Uniform Guidance (UG) applies to federal awards issued after December 26, 2014. While UG no longer requires effort certification, UG makes it very clear that compensation must be accurate and the university must have effective internal controls. For the next few years, the challenge is that universities do not have a standard definition of “effective” internal controls and remain unsure how the audit community will respond in future audits of such controls.

As a result, until further notice, UNMC is retaining the current effort certification process, since we know it is compliant. We will use the current method, until a better method of compliance is developed, to ensure that compensation charges to sponsored awards are accurate and closely reflect the effort performed.

Suggestions for administrators regarding effort certification:
- You need to take this area extremely serious and ensure that the allocations of salary in SAP are as accurate as possible.
- Since compensation is 70% of the expenses on total sponsored awards at UNMC, the highest audit risk for UNMC remains in this area. But, more importantly, we strive to be good stewards of federal funds and this demands that we keep payroll allocations accurate to each award.
- While at the start of an award, an employee can be allocated to have his or her payroll on a project in SAP based on the budget percentage, over time if the effort level changes, the payroll must be adjusted in SAP. This is all explained in the effort certification procedure (below).
- Ensure that your PI reviews payroll charges to their awards on a regular basis to ensure that the charges in SAP reflect the approximate time spent by the employee. Do the charges makes sense to the PI? If not, help them figure it out.

Effort Certification at UNMC

UNMC uses the Effort Certification Report (ECR) as its method of documenting employee effort performed on federal projects and today it remains highly compliant under the Uniform Guidance in order to help ensure that compensation charged to federal awards is accurate.

The key principles of the UNMC Effort Certification Report and System include the following:
- Activity reports reflect the distribution of activity expended by employees covered by the system.
- These reports reflect an after-the-fact reporting of the percentage distribution of activity of employees. Charges may be made initially on the basis of estimates made before the services are performed, provided that such charges are promptly adjusted, if significant differences are indicated by activity records.
- Reports reflect a reasonable estimate of the activities for which employees are compensated by the institution.
- To confirm that the distribution of activity represents a reasonable estimate of the work performed by the employee during the period, the reports are signed by the employee, principal investigator, or
responsible official(s) using suitable means of verification that the work was performed.

- The person who signs the report must have first-hand knowledge of the activity of the employee that is being reported on the ECR.

**Effort Certification Procedure:**
https://info.unmc.edu/management/finance/spaccounting/effort_6105_procedure_revise-1.pdf

- The ECR provides the basis for certifying that salaries are charged to programs/projects in accordance with the relative activity applied to various programs and projects.
- The ECR constitutes the primary basis for reimbursement to UNMC by the federal government for salaries paid from sponsored research, sponsored instruction and other sponsored activities, as well as providing the basis for certain costs that are reimbursed as facility and administrative costs. The ECR also provides the means of identifying cost sharing activity on federally sponsored programs.
- The information reported by departments for the period being reported reflects the actual effort of each employee, as well as it can be estimated or measured. Reports are prepared for employees who are paid at least partially from federally sponsored projects or having cost sharing activity.
- Sponsored Programs Accounting is responsible for the administration of the Effort Certification.
- ECRs are generated by Sponsored Programs Accounting and distributed to departments for review and certification. Effort Certification Reports will be completed using the electronic Effort Reporting system in Research Support System (RSS) on the UNMC intranet.
- Certification is due 30 days after distribution by Sponsored Programs Accounting and is considered delinquent after 30 days. After 30 days, notice will be sent according to the scheduled process, unless an extension has been granted by the Manager of Sponsored Programs Accounting.

Upon certification of an ECR, the report is saved electronically and cannot be changed. If after certification of an ECR, a retroactive payroll transfer is made (UNMC Policy No. 6106, Cost Transfer), a recertification will be required (see Effort Recertification Procedure). A Recertification Report will be generated by Sponsored Programs Accounting and will be subject to the due dates and notice schedule in the Recertification Procedure.

**Subcontracts-Out**
Sponsored Programs Administration generates, negotiates, and executes subcontracts-out with other universities and organizations, based on the information you provided during the Pre-Award stage. Sponsored Programs Accounting processes invoices from sub-recipients. Subcontracts must be executed before invoices can be paid. Uniform Guidance requires UNMC to monitor sub-recipients. More information can be found on the SPAct website.

**Cost Transfers**
Cost transfers are defined as any costs that were initially charged to one fund (cost center or WBS Element) and later transferred to a federally funded award. In all cost transfer cases, federal policies require written documentation to justify the transfer. This documentation, at a minimum, includes answering two questions:

- Why the expense was originally charged to the account from which it is now being transferred?
- Why should this charge be transferred to the proposed receiving account?

**Overview and Internal Controls:**

- The federal government views costs transfers as an entry that should not occur very often.
- Transactions on awards should be correct and accurate when the entry is made.
- There are valid reasons that require cost transfers, but these should be infrequent.
- The government views excessive cost transfers as a sign of ineffective internal controls at the institution. Internal controls are mentioned over 100 times in Uniform Guidance.

- Cost Transfers are very easy to audit, so we need all documentation to be in order.
- When a cost transfer is needed, it should be made within 90 days, per federal guidelines.
- Cost transfers that occur beyond this threshold, require a much higher level of documentation and approval as explained in the policy and procedure that follows.

**UNMC Policy:** http://wiki.unmc.edu/Cost_Transfer

- UNMC cost transfer policy establishes requirements for processing transfers of direct costs to sponsored accounts. Federal regulations,
generally accepted accounting principles and good management practices require that all costs incurred be appropriate to and for the direct benefit of the project charged and that accounting records be maintained on a timely and accurate basis.

- The costs being transferred to a federally sponsored award must be allowable to that award per UNMC Policy No. 6100, Direct Costs.
- Although it is preferable to charge costs to the correct account when they are incurred, cost transfers may occasionally be necessary. The transfer should be submitted as soon as possible after the error is discovered. These transfers must be properly documented and processed within a reasonable time (normally within 90 days of the original entry).
- For this policy and the cost transfer procedure, a “federal award” includes both federal awards to UNMC and federal pass-thru’s where UNMC received federal funding indirectly through another institution.
- Whenever possible the department creating the transfer must also maintain documentation for the original charge that is being moved, such as a copy of the original vendor invoice, SAP document, etc.
- Under no circumstances may expenditures be placed on a sponsored account for reasons of convenience or funding availability with the intention that they will be moved at a later date. Costs may not be transferred to a project that is near completion in order to use up funds. Nor can charges due to overspending be moved off the over spent award to another award.
- If a cost transfer affects two departments, both departments must approve the cost transfer.
- Costs transfers that have been justified, documented and accepted as appropriate will not be allowed to be moved again.
- Retroactive payroll transfers can affect a previously certified effort report. Therefore, UNMC requires recertification of effort under specific circumstances as explained in UNMC Policy No. 6105, Effort Certification.

Cost Transfer Procedure
The specifics of how to properly document, request or process a cost transfer at UNMC are explained in the Cost Transfer Procedure. This is a complex area that requires training and education and one should reach out to SPAct with any questions.

- While all cost transfers to federally funded projects need to be documented as noted above, UNMC policy requires that cost transfers amounting to more than $500 and not corrected in a timely fashion (specifically, by the end of the month following the month in which the original cost posts in SAP), be subject to additional review and approval as described in the procedure.
- In addition to the Cost Transfer Explanation and Justification questions explained in the procedure, Sponsored Programs Accounting may require additional documentation for any cost transfer where the aggregate cost being moved to a federal award is greater than $500. If the documentation is not sufficient to support the transfer, Sponsored Programs Accounting will reverse the entry.

SPAct will reach out to any department that has an excessive amount of cost transfers to determine what corrections are needed.

Cost Share
For additional information, please refer to the Sponsored Project Cost Share Policy and to the UNMC Procedures for Cost Sharing and Companion Accounts.

The University of Nebraska Medical Center (UNMC) policy does not allow for voluntary committed cost share without prior approval of the Vice Chancellor of Research or designee. Under Uniform Guidance, a federal sponsor cannot require cost share as a criteria for awarding a project.

The principal investigator is responsible for maintaining records of all project related costs, including cost share through the use of a cost share companion account.

Per federal regulations, cost sharing must be accounted for through university financial records. To identify, track and report cost share commitment on sponsored projects, UNMC uses the following mechanisms:

- **UNMC Internal Budget**: UNMC policy requires that the amount, category (e.g., salary, equipment) and type of cost share (i.e., mandatory or voluntary committed) and its funding source (i.e., cost center) be documented on UNMC’s internal budget.
- **Cost Share Companion Account**: UNMC policy requires that cost share companion accounts be established to document that:
  - Cost share commitments to the sponsored project were met
  - Funds used to meet matching requirements were used only once

**Non-Competing Continuation**
Some sponsors may have committed multiple years of funding, contingent on satisfactory progress and submission of progress reports. For these projects, the first ten digits of the WBS number will remain the same throughout the competitive cycle (i.e., until you have to submit a new
The last three digits of the WBS will either:
Remain the same (-001), if an annual financial report is not required and carry-forward is automatic
Advance each year (-001 to -002), if an annual financial report is required and carry-forward must be requested
If the last three digits will advance, it is important that the new account be established in a timely manner, so that expenses can be charged to the correct year. To set up the new account, SPAdmin will need:

- Award notice for new year’s funds
- Completed ADIS Internal Forms for new year’s funds

If you anticipate a delay in UNMC receiving the new award notice, consider requesting an advance account.

CHAPTER 8: Section 6

Closeout

Projects must be closed out both:
- Internally – In UNMC’s systems
- Externally – In sponsor’s systems

Internally, Sponsored Programs Accounting will work with you to reconcile the account.
- All awards will be locked in SAP 30 days after the end date of the competitive cycle for NIH and 30 days after the end date for all other awards.
  - After an award is locked, contact your SPAccountant if an entry needs to post
  - Your SPAccountant will review the charge to determine whether it is allowable
  - If it is an allowable expense, the SPAccountant will unlock the WBS, so the charge can post
  - Once posted, the WBS will be locked again
- Automatic SAP Workflow notices will be sent out to the SPAccountant, the PI and to the department contact once a WBS is 30 days past expiration

Contact SPAdmin if you need to submit a non-competing continuation (progress report) or request a no-cost extension.

Externally, final programmatic, financial and other reports are submitted via a sponsor’s electronic portal or otherwise following a sponsor’s instructions. Most federal sponsors require final reports within 120 of the project end date; other sponsors may have earlier deadlines.

Your PI prepares the final programmatic report.
Sponsored Programs Accounting submits final financial report(s).

Residual Funds
If there are funds remaining after all appropriate costs are paid under a contract, the residual funds are handled in the following manner:
- If the sponsor has specified in the contract that any unused funds be returned, the residual funds are returned to the sponsor once the project is closed.
- If the sponsor has not specified that residual funds be returned, Sponsored Programs Accounting will work with Sponsored Programs Administration to determine if the funds should be returned or not. If there are any questions, the sponsor will be contacted.
- If the total amount of residual funds is greater than 25%, Sponsored Programs Administration and Sponsored Programs Accounting will begin a review process. Sponsored Programs Accounting will verify that certain costs, such as salaries and benefits, were accurately posted to the project. Once the amount of residual funds is determined, a decision will be documented in writing whether to retain the residual funds or return them to the sponsor.

If funds are returned to the department, the decision will be formally approved by the Controller.

UNMC Closeout Timeline
UNMC Subward Closeout Timeline
CHAPTER 9

Compliance

In this chapter, each UNMC Compliance policy will be briefly explained as it is important that UNMC Administrators are familiar with each of them.

CHAPTER 9: Section 1

Compliance Policies

Compliance is the process of conforming to a rule, such as a specification, policy, standard or law. UNMC is required to ensure compliance with all applicable federal, state and local laws and regulations, as well as University of Nebraska, and UNMC Policies and Procedures. As a member of the University of Nebraska community, administrator’s share in the responsibility to support UNMC’s mission and reputation by holding themselves and others accountable to the highest standards of ethical and lawful conduct in all academic and business activities. Administrator’s share a sense of pride and must be aware of and follow the policies, standards, laws and regulations that apply to their activities, be willing to report concerns and work with others to resolve them. As an administrator you are responsible for your actions and integrity when dealing with compliance activities and expectations. All UNMC policies can be found at: https://wiki.unmc.edu/index.php/Policies_and_Procedures and all of the Research compliance policies are grouped together.

Questions regarding compliance policies:
Compliance Main Office: 402-559-6767
Sarah Gloden Carlson, Chief Compliance Officer
sarah.glodencarlson@unmc.edu
402-559-9576

UNMC Policy 8000: Compliance Program
The overall purposes of UNMC compliance polices are to ensure compliance with all applicable federal, state and local laws and regulations, and University of Nebraska, and UNMC Policies and Procedures. Policy 8000 is the foundation of the compliance structure at UNMC and explains the organization and management structure, and is led by the Chief Compliance Officer and includes the Compliance Committee.

UNMC Policy 8001: Compliance Hotline
Employees and students who have compliance-related questions or concerns are encouraged to report them as soon as possible, so appropriate action can be taken. Reporting concerns helps UNMC to maintain the integrity of its education, research, patient care and outreach mission. Employees and students are encouraged to share concerns with their supervisors, but anonymous hotline (UNMC Compliance Hotline 1.844.348.9584) and website (www.nebraska.ethicspoint.com) have been established to report any activity or conduct an employee suspects may be violating University of Nebraska or UNMC policies and procedures and/or federal, state or local laws and regulations. While employees and students are encouraged to obtain guidance or share concerns with their supervisors first, they may use any of the communication channels. Concerns received through the Compliance Hotline or website will be investigated and appropriate actions will be taken.

- The Compliance Hotline is operated by a third party organization hired to collect and document information provided on the call. It operates seven days a week, 24 hours a day, and 365 days a year. The UNMC Compliance Hotline phone number is 1.844.348.9584 or visit www.nebraska.ethicspoint.com.
- A pre-recorded message will precede the operator answering the call to inform the caller that: (1) calls are not recorded and no attempt is made to identify caller number or location; (2) UNMC’s policy prohibits retribution or retaliation for providing information; and (3) the caller may remain anonymous, if desired.
- The hotline operator will: greet the caller and thank him/her for calling; ask if the caller understood the message, answer any questions the caller may have; and reinforce that the caller does not need to identify him/herself. The operator will ask questions based on the nature of each call to elicit the most complete information about each issue as possible, schedule any follow-up phone calls which may need to occur, notify the caller that the status of actions taken may not be available to the caller, invite him/her to phone the hotline if he/she believes the problem has not been addressed or wishes to further discuss the situation, and thank him/her for calling.
- The hotline company will generate a report to the Compliance Officer.

UNMC shall attempt to maintain the confidentiality of an individual who reports concerns or misconduct upon request. However, confidentiality cannot be guaranteed, and disclosure of the individual’s identity may be necessary in order to fully investigate the concern. There is no retribution or discipline for anyone who reports a concern in good faith. Individuals shall not intentionally use the hotline to make false allegations.
UNMC Policy 8003: Research Integrity

UNMC is committed to maintaining an academic environment based on honesty, integrity and ethical conduct. As a recipient of federal research funds, UNMC must comply with federal policies and regulations when responding to allegations of research misconduct. UNMC’s policy applies to all individuals at UNMC engaged in research, including: non-funded projects, governmental entities and private funding sources.

UNMC is committed to maintaining an academic environment based on honesty, integrity and ethical conduct. As a recipient of federal research funds, UNMC must comply with federal policies and regulations when responding to allegations of research misconduct. UNMC’s policy applies to all individuals at UNMC engaged in research, including: non-funded projects, governmental entities and private funding sources.

All UNMC employees should report observed, suspected, or apparent research misconduct to the Research Integrity Officer at 402.559.5130 or to the UNMC Compliance Hotline at 1.844.348.9584 or www.nebraska.ethicspoint.com. The Research Integrity Officer, under the Senior Vice Chancellor for Academic Affairs, is responsible for carrying out inquiries and investigations that thoroughly evaluate the facts, while protecting the rights of the parties involved in the alleged misconduct. The policy details the procedures and processes for: reporting misconduct, the inquiry process, the investigation, corrective action, reporting to the funding agency, and record retention.

UNMC Policy 8005: Export Control

All UNMC personnel, including faculty, staff, research associates and fellows, visiting scholars, students, volunteers, must comply with U.S. export laws and regulations, also known as export controls. Export controls are federal regulations that govern the export of goods, information, software, and chemical and biological materials. Export controls apply to all UNMC activities, including research, clinical services, shipping, and international travel.

Export controls comprise a collection of federal regulations, each aimed at regulating exports of specified items and technologies and enforced by a separate agency. In some cases, an agency may require UNMC to apply for an export license or other authorization, depending on the nature and sensitivity of the item or information to be exported, the nationality and location of the recipient, and the recipient’s intended end-use.

The results of some research activities are excluded from export controls by the fundamental research exemption. Fundamental research is defined as “basic and applied research in science and engineering where the resulting information is ordinarily published and shared broadly in the scientific community.” It is important to note that this exemption applies only to the data and other information resulting from fundamental research. Tangible deliverables, like prototype devices or pharmaceuticals, are still subject to export controls.

Export controls are also important to consider when traveling internationally. Travelers should be careful to remove export-controlled data from electronic devices prior to leaving the United States. Travel to an embargoed country requires additional approval from the United States Treasury Department, regardless of the purpose of the travel. Embargoed countries include Cuba, Iran, North Korea, Syria, and the Crimea region of Ukraine.

Similarly, export controls are a key consideration when shipping an item to another country. Depending on the item and destination, it may be necessary to apply for an export license, take special packaging precautions, or pay customs or other duties. UNMC’s international shipping page (https://info.unmc.edu/safety/Export-Shipping.html) has more information and links to forms.

Determining whether an export is controlled is critical in determining whether export control laws and regulations apply. University personnel are expected to be familiar with export controls to ensure that they can take appropriate steps to protect export-controlled items, information, and technologies. Export compliance training is available to all UNMC personnel and is required before engaging in certain activities. More information on training is available at the export control website listed below.

Questions about export controls should be directed to the UNMC Export Control Office at exportcontrol@unmc.edu or 402.559.9328. Additional information is available at https://www.unmc.edu/academicaffairs/compliance/areas/export.html.

UNMC Policy 8006: Code of Conduct

All UNMC faculty, staff and students are responsible for conforming to the highest ethical standards and to meet all legal obligations in the performance of their duties. This policy is UNMC’s guide for ethical, professional and legal standards of behavior. Professionalism is fostered by a supportive climate emphasizing respect and dignity and must be shown in all relationships. Violations of this code may be subject to corrective action up to and including termination of employment or academic disciplinary action, including dismissal. For specifics concerning professional and ethical conduct, leadership responsibilities, compliance obligations and reporting misconduct, please refer to the policy.

UNMC Policy 8007: Use of Human Anatomical Material

UNMC faculty, researchers, students and staff shall follow guidelines set by the Nebraska State Anatomical Board for the use of human anatomical
material. The UNMC Compliance Officer is responsible for implementing and monitoring compliance with this policy.

**UNMC Policy 8008: Clinical Research and Clinical Trial Professional and Technical Fee Billing Policy and Procedures**

This policy explains responsibilities for clinical trial or clinical research billings and defines procedures for identifying patients who are research subjects and to accurately charge medical procedure costs to the grants, to the third party payer, or to the patient, while maintaining patient satisfaction and to comply with federal laws, regulations and policies.

**UNMC Policy 8009: Contracts**

All organizations and individuals that provide products and services to UNMC shall enter into a written contract with UNMC. Pursuant to University of Nebraska Executive Memorandum No. 14, the President has delegated authority to each Chancellor to approve specific types of contracts described in Section 4 of RP 6.3.1. Pursuant to University of Nebraska Executive Memorandum No. 13 and Executive Memorandum No. 14, the Chancellor may delegate contract signature authority. Individuals with the authority to sign contracts on behalf of UNMC are listed in the Executive Memorandum 13 Contract Signature Authority table.

The following contract types, approvals and requirements can also be found in Policy 8009: Research Contracts, Purchases of Goods and Services, Licensed Technology, Business Functions, Academic Agreements, Business Associate Agreements, requirements for the use of protected health information (PHI) by an outside entity, use of protected student financial information (PSFI) by an outside entity and guidelines for the use of UNMC Information Systems.

**UNMC Policy 8010: Conflict of Interest**

The goal of UNMC’s Conflict of Interest (COI) policy is to ensure the credibility and integrity of UNMC and to foster public trust and confidence in UNMC’s researchers. Broadly speaking, a conflict of interest is a situation in which a primary interest has the potential to be inappropriately influenced by a secondary interest the focus is on financial interests. It is important to recognize that a conflict of interest is a situation, not a behavior. There are reporting requirements that are fully explained in the policy.

The UNMC COI Officer (also the Compliance Officer) is responsible for implementing the UNMC COI management program. The UNMC COI Committee shall provide oversight over the UNMC COI program, advise the COI Officer and provide guidance on UNMC COI policy matters. The responsibilities of the COI Officer and the COI Committee are listed in the policy. Several examples of conflict of interest are addressed in the policy. Additional information is available in the policy addressing the role sponsored programs administration, the associate vice chancellor of business and finance, the institutional review board (IRB), UNeMED and the continuing education offices play in conflict of interest situations.

**UNMC Policy 8011: Red Flag Identity Theft Prevention Program**

The UNMC Red Flag Identity Theft Prevention Program is designed to reduce the risk of identity theft through detection, prevention and mitigation of patterns, practices or activities related to covered accounts (“Red Flags”) that could be indicative of potential identity theft. The day-to-day management of this program has been delegated to the Compliance Officer by the Vice Chancellor for Business and Finance. Covered accounts include, but are not limited to: student loans, student accounts and patient accounts.

For information addressing the processes for identifying red flags, detecting red flags, responding to red flags, oversight of service providers, program education and program assessment and reporting, please refer to the policy.

**UNMC Policy 8012: Principles of Financial Stewardship**

This policy is the foundation for UNMC administrator conduct. UNMC promotes honest and ethical conduct of all employees having responsibility over and/or access to financial assets, and to foster a culture of honesty, integrity, stewardship and financial accountability across the entire campus community. Employees, including faculty and staff, with specific responsibilities for financial management, are held to a higher standard in ensuring financial integrity.

UNMC is able to provide full, fair, accurate, timely and understandable disclosure when financial records are accurate and diligently maintained. The principles listed, although not an exhaustive list, establish a standard of accountability for all UNMC employees for compliance with applicable laws, ethical business standards and generally accepted accounting principles.

**UNMC Policy 8013: Human Tissue Use & Transfer**

All administrators should be aware that tissue obtained for clinical and/or research purposes is the property of the Nebraska Medical Center Academic Clinical Enterprise and the use and transfer of human tissue shall take place in accordance with the procedures in this policy to ensure applicable regulatory and ethical standards are met. Note: This policy applies to physical tissue; not to tissue images.

**UNMC Policy 8014: International Research Policy**

All UNMC personnel engaging in activities supported by a foreign entity or individual must disclose the nature of that support. Additionally, UNMC
personnel engaging in research must make such disclosures prior to applying for federal research funding or participating in federally funded research.

Any UNMC employee wishing to participate in an activity physically located outside the United States must complete an international project questionnaire and submit a travel authorization through Concur. Additionally, if any aspect of the international activity is funded by a non-UNMC source, the employee must disclose the source of that funding. Examples of funding may include research sponsorship, covering or reimbursing travel expenses, and donations of equipment or research materials. Additional information is available in the policy.

UNMC Policy 8015: Health Care Vendor Interactions
Health care vendors provide UNMC with information, products, services, and funding to further UNMC’s mission; however, their promotional practices may influence health care providers’ treatment choices and the future practice of health care trainees. The policy explains both when it is acceptable and unacceptable to accept gifts from health care vendors. It also addresses: on campus visits, trainees, food, vendor marketing items, unrestricted educational grants, paid attendance at conferences, equipment loans and donations for education training and research, drug and nutritional samples, UNMC/Nebraska Medicine Sponsorship of Community Activities, UNMC employment, outside professional activity, disclosing outside financial interests and ghostwriting. All questions should be directed to the Compliance Officer.

UNMC Policy 6109: Investigations by Third Parties
This policy explains the role of a UNMC employee during an investigation by a third party, including: government officials and regulatory agencies (federal or State). A third party investigator may contact an employee or arrive unannounced at UNMC or at an employee’s home and seek interviews, documents, information or request to search the premises. The policy explains: the process for an orderly response that protects the interests of UNMC, provides for appropriate cooperation, and provides examples of third party investigations.

CHAPTER 9: Section 2
Privacy/Information Security Policies
Privacy and information security is closely allied with compliance and is integral to UNMC’s mission. Protecting confidential information is everyone’s responsibility. Just about everyone at UNMC uses confidential information in the form of student, financial, employment, research or donor information. Privacy and information security is governed by federal and state regulations and University policies and procedures. Remember, we are all responsible for our actions. Failure to comply with regulations or report violations could directly impact the future of UNMC and its mission.

All of the privacy and information security policies are described below and can be found at: https://wiki.unmc.edu/index.php/Policies_and_Procedures.

Questions regarding privacy/information security policies:
Deb Bishop, Privacy Officer
debbrishop@nebraskamed.com
402.559.5136

Information Security Policies:
Lisa Bazis, Chief Information Security Officer
libazis@nebraskamed.com
402.559.2882

UNMC Policy 6008: Identification Card
All faculty, staff, house officers, students, and volunteers of UNMC are required to wear a photo identification card, which indicates name, department and college or unit, promotes a positive public image and is consistently displayed throughout the campus. Visitors should have identification from their company or be issued temporary identification. Individuals who give their ID card to other employees, visitors, etc. are subject to disciplinary action, up to and including termination.

UNMC Policy 6009: Secure Area Card Access
UNMC has designated areas where limited, independent access is necessary for security and safety reasons. As an employee, to gain access to an area, the criteria includes, but may not be limited to: the secured area is the staff’s designated primary work area, access may be needed for patient care emergencies and designated security personnel. Access is authorized based on necessity, not convenience.

UNMC Policy 6045: Privacy/Confidentiality
On a daily basis, UNMC workforce and business associates handle a variety of confidential information, which includes, but may not be limited to: protected health information (PHI) as defined by HIPAA, student education records as defined by FERPA, protected student financial information (PSFI) as defined by The Gramm-Leach-Bliley Act, employee records, research data, business plans and financial data. This information may concern patients, colleagues, employees, students, alumni, donors, etc. As an employee, with access to private and/or confidential information, you are held accountable for maintaining confidentiality. Individuals who know or
suspect a breach of confidentiality have a responsibility to report the breach to the Internal Auditor or to the Human Resources Relations Department.

**UNMC Policy 6051: Computer Use/Electronic Information**

The UNMC workforce is responsible for utilizing information technology resources in an appropriate manner, to safeguard resources and to maintain confidentiality. Access is assigned based upon the minimum necessary information needed to perform as signed duties (see UNMC Policy No. 6053 regarding volunteer access). UNMC Net ID accounts, UNMC email accounts or any member of the ACE will only be issued to the individuals listed in the policy. UNMC’s information technology resources are to be used for completing UNMC work related business. The policy contains additional information relating to: copyrights, privacy, email, instant messaging, voicemail and other items. Specific information security procedures have been developed and are available on the Information Security Procedure page.

**UNMC Policy 6055: Retention and Destruction/Disposal of Private and Confidential Information**

As an UNMC employee or affiliate, one must familiarize oneself with the retention and subsequent destruction/disposal of proprietary and protected health information policy, because it is governed by federal and state regulations and University policies and procedures. UNMC’s policy is to ensure the privacy and security of proprietary and protected health information in the maintenance, retention and eventual destruction/disposal of such media. It is the responsibility of the department to determine what information, entrusted to their department, is private and/or confidential and is responsible for communicating methods of protecting that information through the destruction/disposal process. All paper is treated as confidential and must be placed in approved recycle bins.

**UNMC Policy 6057: Use and Disclosure of Protected Health Information**

It is the policy of UNMC to use and disclose protected health information in accordance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) requirements and Executive Memorandum No. 27. This policy establishes guidelines for the use and disclosure of protected health information (PHI). Health information means any information, whether oral or written in any medium, that: is created or received by UNMC and related to the past, present or future physical or mental health or condition of an individual; the provision of health care to an individual, or the past, present or future payment for the provision of health care to an individual.

**UNMC Policy 6058: Notice of Privacy Practices**

Patients receiving treatment at UNMC shall receive the joint Notice of Privacy Practices that describes how Protected Health Information (PHI) about them may be used and disclosed and their rights regarding PHI.

**UNMC Policy 6059: Access to Designated Record Set**

UNMC shall provide individuals with the right of access to inspect and obtain a copy of protected health information (PHI) contained in the designated record set (DRS). Requests for records shall be forwarded to the Health Information Management Department.

**UNMC Policy 6061: Accounting of PHI Disclosures**

Upon written request, UNMC shall provide patients with a list of individuals/organizations to which their protected health information (PHI) has been disclosed.

**UNMC Policy 6062: Patient/Consumer Complaints**

Any UNMC employee who has contact with patients, families and visitors, is encouraged to assist in gaining and maintaining their confidence. UNMC departments/clinics providing direct patient care are required to develop their own written procedures for handling patient/consumer complaints. All routine patient complaints should be addressed to the extent possible at the clinic level; more serious or unresolved patient complaints regarding privacy practices should be referred to The Nebraska Medical Center Patient Relations Department. Privacy/confidentiality complaints will be referred to the Privacy Office and their disposition shall be documented and retained for six years.

**UNMC Policy 6063: Vendors**

As a department administrator, one shall not provide vendors access to any confidential information, including patient information (protected health information or “PHI”) and proprietary information, unless the information is necessary to perform services on behalf of UNMC.

**UNMC Policy 6065: Fax Transmissions**

Generally, confidential information may be transmitted via facsimile with PHI being transmitted in accordance with UNMC Policy No. 6057, Use and Disclosure of Protected Health Information and UNMC Policy No. 6073, Transporting Protected Health Information; however, for more specifics, please refer to the policy.
UNMC Policy 6066: Psychotherapy Notes
UNMC shall maintain strict confidentiality of psychotherapy notes to ensure the privacy of sensitive patient information and to comply with Health Insurance Portability and Accountability Act of 1996 (HIPAA) requirements, Executive Memorandum No. 27 and UNMC Policy 6057: Use and Disclosure of Protected Health Information.

UNMC Policy 6067: Facility Security
It is the responsibility of the department to know who should legitimately be in their work area, to immediately report any suspicious activities and/or individuals acting in a suspicious manner to Campus Security (402.559.5111) or to 911 and to secure offices and other areas containing PHI or confidential proprietary information when not in use. This policy has details on securing campus buildings, after-hours access and securing clinics and health care centers.

UNMC Policy 6070: Conditions of Treatment Form
UNMC shall provide information to the patient and obtain general consent using the appropriate Conditions of Treatment Form prior to providing treatment or services.

UNMC Policy 6030: Informed Consent for UNMC Media
It is the policy of UNMC to obtain the appropriate legal authorization form all participants before they are involved in the production of audio-visual media, for educational or informational purposes or other.

Any protected health information, included in the production of audio-visual media, will be utilized in accordance with UNMC Policy 6057: Use and Disclosure of Protected Health Information. The Media Authorization Form can be obtained from Public Affairs in small quantities or in bulk through UNMC General Supply. If the news media is involved in the production, see the News Media section of UNMC Policy 6001: Public Affairs.

UNMC Policy 6073: Transporting Protected Health Information
All protected health information (PHI), in paper and electronic form, must be transported and stored in a secure manner to safe guard it against improper disclosure and/or loss. Confidential information will be stored or transported outside secure network servers only as necessary. Whenever possible, workforce members should remotely access PHI via virtual private network (VPN) instead of physically transporting PHI.

UNMC Policy 6074: Honest Broker
UNMC Affiliated Covered Entity (ACE) shall implement an “honest broker” program to ensure compliance with the HIPAA Privacy rules and requirements pertaining to the use and disclosure of protected health information (PHI) and de-identification of PHI used for research and healthcare operations as well as any applicable related state laws that are not preempted by HIPAA. The Honest Broker program establishes standard operating procedures for de-identification of PHI for the purpose of safety and securely linking together or sharing clinical data to support research in compliance with HIPAA and IRB requirements.

UNMC Policy 6085: Social Security Number
Social Security Numbers shall not be used to identify students, employees, research subjects, alumni, donors, potential students and affiliates outside of those uses specifically required by law, such as financial aid, payroll and benefit functions. Additionally, Social Security Numbers shall not be electronically collected, transmitted or stored by members of the workforce unless specifically authorized, in writing, by authorized individuals, as outlined in this policy. If you suspect a Social Security Number violation, you must report it immediately to your respective manager, the Privacy Office, the Information Security Office or to the Compliance Hotline (1.844.348.9584 or visit www.nebraska.ethicspoint.com).

UNMC Policy 6300: Third Party Registry
A third party registry is an external entity that collects electronic medical record (EMR) data for quality or research objectives. The purpose of this policy is to describe the requirements for selecting a third party registry to securely and efficiently submit data while achieving organizational goals. Refer to this policy for guiding principles to follow when selecting a vendor including organizational goals, incentive bonus, penalty avoidance, accreditation, quality objective, research objective, data collection, data quality, workflow, data security and data policy committee.

UNMC Policy 6301: Information Security Awareness and Training Policy
UNMC will ensure that its workforce is trained in and understands the organization’s security policies and procedures with respect to protected information in accordance with all applicable laws and mandated standards including, but not limited to, the Health Insurance Portability and Accountability Act of 1996 and the Health Information Technology for Economic and Clinical Health Act and the regulations promulgated thereunder governing the privacy and security of individually identifiable health information (collectively, “HIPAA”), the Family Educational Rights and Privacy Act (“FERPA”), and the Payment Card Industry Data Security Standard (“PCI DSS”). UNMC will strive to achieve a level of security awareness both to prevent improper access to or use or disclosure of protected information and to ensure detection and reporting of any improper access, use or disclosure that may occur.
CHAPTER 10
Hiring Process for Staff Positions

This chapter is to provide guidance on the steps and requirements to create an open position, selection tools and compliance during the process. These steps are for specific Staff positions only and include Office/Service and Managerial Professional positions.

CHAPTER 10: Section 1
Introduction

Approved job openings are known as requisitions and will be referred to as such through this chapter. PeopleAdmin is the system that stores position descriptions and is used to create requisitions. To log into PeopleAdmin, use the “PeopleAdmin Campus Site” link found under Quick Connect on FireFly.

Prior to starting the steps below, review your position description and make updates if needed. “User Guide – Creating a Position Description” and “Quick Steps – Position Management” are available for guidance. These documents can be found on the NU Values – PeopleAdmin page. For additional assistance on Position Descriptions, contact a member of HR Compensation. For assistance on Staff Requisitions (steps below) contact a member of HR Staffing.

Positions are required to be posted for a minimum of seven full calendar days and a background check is required to be completed prior to the start date of the candidate selected for hire.

5 Steps for a New Hire

- Step 1 – Create a Requisition
- Step 2 – Reviewing and Managing Applications
- Step 3 – Interviewing and Selection
- Step 4 – Extending an Offer and Background Checks
- Step 5 – Onboarding

Questions regarding the hiring process for staff:
Carmen Sirizzotti, Associate Director, Human Resources – Compensation Staffing and HRIS
csirizzotti@unmc.edu
402.559.2710

CHAPTER 10: Section 2
Step 1 – Create a Requisition

Requisitions are required to be created within PeopleAdmin for posting and submitted to HR Compensation for position description approval. Compensation then submits to HR Staffing to post on UNMC’s job site – Jobs@UNMC. Job openings are automatically posted on HERC, Careerlink, Indeed.com and the NE Department of Labor.

CHAPTER 10: Section 3
Step 2 – Reviewing and Managing Applications

Candidates are required to apply online to be considered. HR Staffing reviews applications for minimum qualifications and completeness of application. If the candidate passes initial review, they are forwarded to departments via PeopleAdmin.

From here, applicants are managed in PeopleAdmin by a department representative to disposition into workflows when moving through the selection process. If an applicant is moved to an inactive state (not hired) an email is automatically generated and sent to the applicant.

When reviewing applicants, HR and the departments must look for potential nepotism. No employee shall hire or supervise a member of their immediate family.

Family member means an individual who is the spouse, child, parent, brother, sister, grandchild, or grandparent, by blood, marriage, or adoption, of a University official or employee;

Nepotism means the act of hiring, promoting, or advancing a family member in the University or recommending the hiring, promotion, or advancement of a family member in the University, including initial appointment and transfer to other positions in the University; and

Supervisor means an individual having authority, in the interest of the University, to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline employees, responsibility to direct them or to adjust their grievances, or effectively to recommend any such action, if the exercise of such authority is not merely of a routine or clerical nature but
requires the use of independent judgment.

Any University employee violating the provisions above may be subject to disciplinary action.

For additional information you may review Nepotism Policy #1101 and Procedures Nepotism Policy #1101.

CHAPTER 10: Section 4

Step 3 – Interviewing and Selection

1. Interviews can be conducted in person, over the phone or via video conference. To assist applicants visiting our campus, send a link to our map and directions in the interview confirmation email as well as contact information for the department. Interview templates are located on NU Values – Interview Guide and able to be edited and tailored to desired skills based on the position. It is strongly recommended to take detailed notes and score interviews for potential audits.

2. Pre-Employment Skills Based Testing is available, requested by the department and coordinated through HR Staffing. NU Values – Pre-Employment Skills Testing has links to Skills Testing Order Form, Map to HR Staffing and vendor website (IBM Kenexa) for available tests.

3. Checking references is required. Departments conduct reference checks and are most effective when completed with at least two previous supervisors.

   Departments may request candidates (internal or external) scheduled for personal interview to provide copies of their performance evaluations (past two or three years).

   All recruitment documentation must be maintained by the department for four years.

CHAPTER 10: Section 5

Step 4 – Extending an Offer and Background Checks

Once all selection tools have been used and you are ready to make an offer, use the templates found on the NU Values – Sample Letters & Attachments. Templates are available for internal and external hires as well as Managerial/Professional and Office/Service. Additional required documents are noted in the templates.

Background checks are required to be completed prior to the start date of the candidate selected for hire. The background check process needs to be initiated immediately after the offer is formally accepted. The background check typically takes seven to ten days after the selected candidate provides OneSource (vendor) all required/requested information. Background check requests begin in PeopleAdmin and are conducted by our vendor – OneSource, The Background Check Company. For detailed steps and instructions to provide to the individual selected, review NU Values Background Check.

Pre-Employment Physical Examinations are required for certain positions and are noted in the compliance section of your requisition. They are conducted by Employee Health and, if required, need to be completed prior to their start date.

“Request for Pre-Placement Physical Examination” and steps to completion can be found on NU Values – Pre-Employment Physical Examinations.

CHAPTER 10: Section 6

Step 5 – Onboarding

Onboarding includes required new hire paperwork, computer/telephone access, parking and more. Steps should be taken before the new hire start date to ensure compliance as well as a seamless and positive experience.

“New Employee Onboarding Checklist” is available on NU Values – Welcoming New Employees.
CHAPTER 11
Environmental Health & Safety

“The overriding culture at UNMC must be a culture of absolute safety. We need to assure a culture of safety against which we must perform ALL our work. A culture of safety recognizes that to err is human, and establishes systems with procedures and protocols that do everything possible so that human error does not ever result in human harm.

“We all need to be part of the culture of safety to make it succeed. A culture of safety encourages reporting of actual and potential situations which may place staff and others at risk, openly assesses those risks, and implements redundant systems to keep risk to the absolute minimum.”

Jeffrey P. Gold, MD, UNMC Chancellor
July 18, 2014

Armed Intruder
All staff should be prepared act in the event there is an armed intruder on the campus. Make sure your staff know what to do. If in your area they should be prepared to take action. For more information and a link to a training video. Click to download the Arm Intruder Handout.

Behavior Emergencies
These are incidents where a person or persons are in danger of injuring themselves or others. You can also find videos on Recognizing and Preventing Violence on Campus on the Campus Security/Public Safety Intranet page in the Training Video Library.

Biological Exposure Guidance
Exposure guidance is available for biological exposures that occur while working on campus by calling the OUCH pager 402.888.6824. This exposed be able to tell the person OUCH pager what they were working with (chemical and/or biological agents) in order for guidance to be given on the appropriate treatment recommendations. They will also need to provide the supervisor’s and Principal Investigator’s (PI’s) contact information (work and cell numbers). Employee Health or the Emergency Department may need to contact them to get additional information. Contact Security/Public Safety Dispatch at 402.559.5555 for guidance regarding and to and report radioactive or chemical exposures and spills. The Supervisor will need to complete an incident re- port to document the occurrence.

Blood-borne Pathogens Exposure Control Plan
This plan provides information designed to prevent employees and students from exposure to human or infectious blood, body fluids or other potentially infectious materials. Per the Blood-borne Pathogens Exposure Policy all UNMC staff, researchers and students who might be exposed to blood-borne pathogens are required to read the Blood-borne Pathogens Exposure Control Plan.

Bomb Threats
Bomb threats are rare but your staff should know how to handle them. You will find more information on bomb threats in the emergency preparedness procedures guide – bomb threats tab. The threat checklist will also need to be completed.
Cardiac Arrest – Code Blue
Summon help, Call 402.559.5555 if on campus or 911 if off site. Begin CPR if warranted and trained. Use Automatic External Defibrillator (AED) if trained. Note the campus has public AED that are inspected and maintained. If your department has an AED you must maintain it. Contact Environmental Safety and Health for information on AED’s maintenance, CPR training, etc.

Chemical Exposure – General Guidance
Contact the Campus Emergency number 402.559.5555 if an exposure has resulted in a person being grossed contaminated, injured or incapable of rendering aid to themselves or if providing assistance to the injured party would put the rescuer at risk. The poison control center can provide some guidance but will need to know the name of the chemical/substance. In the Omaha area, call 402.955.5555 or call toll-free 1.800.222.1222. Environmental Health and Safety can assist with routine exposure monitoring.

Chemical Spills
Chemical spills are handled differently depending on the situation (i.e. controlled, controlled – requiring assistance or uncontrolled). You will find more information on chemical spills in the Emergency Preparedness Guide under the Chemical Spill Emergency Response tab.

Children in the Workplace – UNMC Policy #2007
For health and safety reasons children are not permitted in the workplace. The presence of children, visitors or family members during work hours (except for an occasional basis for a brief visit) is to be avoided.

Decorative Material Policy
This policy defines what decorative materials are allowed. It also discusses the use of candles, chafing dishes, wax warmers and fireworks on campus.

Earthquake
Minor earthquakes can occur in our area. Here you will find information on what to do during earthquakes.

Emergency Notification (UNMC Alerts)
We use our UNMC ALERTS emergency notification system to notify the campus community of events that can cause serious injury or death. It can send emergency notification messages out via email, computer screen crawler, text messages to cell phones and text alphanumeric pagers. As a manager you are strongly encouraged to register for emergency alerts. For more information contact Environmental Health and Safety.

Employee are told if they see something to “say something” and if they hear something to report it to their supervisor or manager. You must call Security/Public Safety at 402.559.5111 when they report threats or terroristic remarks to you.

Emergency Preparedness Procedures Guide
The Emergency Preparedness Procedures Guide contains important emergency phone numbers and the following procedures and guides:

- Armed Intruder
- Behavior Emergencies
- Biological Exposure Guidance
- Biological
  - Mercury
  - Radioactive Material Spills
  - Blood and Body Fluid Exposure
- Bomb Threats
  - Suspicious Packages
  - Threat checklist
  - Building Specific Information
- Cardiac Arrest – Code Blue
- Chemical Exposure – General Guidance
- Chemical Spills
- Earthquake – Explosion
- Essential Staffing
- Internal and External Disasters
- Fire Emergency – Code Red
- Fire Response Equation
- Information Security Incident
- Medical Emergency
- Safety Data Sheets (SDS)
- Severe Weather
- System Failure Basic Staff Response
- Threats and Workplace Violence Guides

Emergency Preparedness Guides are posted in the UNMC buildings on the main campus in elevator lobbies and at the exit stair towers.

Essential Staffing
An Essential Staffing Condition is activated at times when staff may be unable to get to and from the campus due to weather (such as during snow or ice storms) and other situations which may restrict travel or access to the campus. The decision to implement the Essential Staffing/Operating Condition will be made by Administration or their designated representative based on the advice of the university president’s office, the Chancellor or their designee, National Weather Service and/or state and local government officials. Each director/manager will identify those positions that must be maintained to ensure the uninterrupted operation of the department. Those employees not required shall be identified as non-essential and may be released and told to go home.
**Internal and External Disasters**

At times, it may be necessary for the facility to activate the disaster plan. The hospital will activate the plan for incidents that may involve an influx of victims. Upon activation of a “Nebraska Medicine Incident Command – Activate,” the campus will support the hospital. This may include using UNMC personnel to supplement hospital personnel. UNMC may activate its Incident Command system if needed.

**Eye Protection**

Appropriate eye protection shall be worn wherever there is a risk of injury or exposure to the eyes. Department supervisors are responsible for having appropriate eye protection available so employees, students, and volunteers required to utilize them will have them available. They are responsible for verifying that employees, students, and volunteers utilize such equipment. Contact Environmental Safety and Health for questions regarding the proper eye protection.

**Fire Emergency – Code Red**

All staff must know what to do in the event of a fire. R.A.C.E. – Rescue, Alarm (pull the pull station and call 402.559.5555 on campus – 911 off campus), Confine – close doors, Extinguish and/or Evacuate. All fires must be reported – even those that have been put out. Your department should have a “muster point” – meeting location outside and away from the building to do a head count. You can download a Departmental Safety poster to help provide key emergency information for your staff. For research locations, the Fire Response Equation poster has been developed to help educate employees. There is more information on this topic under the Fire Emergency – Code Red tab in the Emergency Preparedness Procedures Guide.

**Flu Season Policy UNMC #1102**

A pandemic would touch every aspect of society, so every part of society must begin to prepare. Influenza, or flu, is a contagious respiratory illness caused by influenza viruses. It can cause mild to severe illnesses, and sometimes it can lead to death. It is spread through the coughing and sneezing of people who are already infected with influenza.

The hospital must report the vaccination status of those who work with patients and on campus. UNMC employees and students help meet this requirement by getting the shot at one of the flu shot clinics held during flu season or if they get vaccinated somewhere else they must log into the flu tracking site and report that they were vaccinated at an alternate location. Those who decline the vaccination must also record their declination online and the reason they have declined. Our goal is to have 100% or UNMC employees report their vaccination status. During Flu season staff can report their vaccination status online here – Flu Vaccinations.

**Food, Drinks and Cosmetic Use in Laboratory Areas – UNMC Policy #2010**

The use of food, drink, candy, handling contact lenses and/or the application of lotion, lip balm or cosmetics are not allowed in any areas where chemical, biological or radioactive materials are used or stored. Use of food/drinks shall include preparing, consumption and/or storage.

**Hearing Conservation Plan**

This plan has been developed to protect those employees who may have excessive noise exposure. Contact Environmental Safety and Health for noise surveys or hearing protection.

**Hot Work Permits**

This policy is to ensure safety during welding and cutting operations along with the protection of property (including equipment) from Hot Work operations conducted at the University of Nebraska Medical Center. Hot Work is defined as “work involving welding, soldering, brazing, cutting, grinding, thawing frozen pipes, heat treating, temporary heating or similar operations that are capable of initiating smoke, fumes, fires, or explosions.”

**Incident/Accident/Near-miss Reporting**

Any employee, volunteer, or student should fill out an appropriate incident report when there is an incident or event which:

1. Is not consistent with routine patient care or safety of persons on the premises.
2. Did or could have resulted in injury or illness to anyone on campus.
3. Did or could have caused damage to university property.
4. May result in a claim against the organization.

As a part of the Injury & Illness Prevention Plan it is the responsibility of every employee responsibility to report any actual/potential safety hazards to their supervisor or UNMC Environmental Health and Safety at 402.559.7315 or 402.559.6356.

**Laboratory Safety Manual**

The Laboratory Safety Manual provides guidance, policies and procedures that will allow laboratory workers to work safely, be compliant with regulations, operate efficiently and develop accountability for everyone.
Laboratory Safety Signs
This information provided on the Laboratory Safety Sign is very important will be used to provide information to emergency response personnel and others about the hazards present in each lab. Signs will be posted at each corridor door leading into the laboratory workspace. The UNMC Environmental Health & Safety office is responsible for the program. An application for a lab sign can be found here Lab Sign Worksheet. Information on the symbols found on the sign can be found in the Laboratory Safety Manual.

Latex Sensitivity Policy – UNMC #2003
The use of powdered latex gloves is prohibited. Employees shall use powder-free non-latex gloves whenever possible. Powder-free non-latex gloves shall be provided to all employees who are sensitized/allergic to latex. Latex balloons are not to be used on campus as they are coated with powder which will be released into the air when the balloon is handled, manipulated or popped.

Medical Emergency
Medical emergencies on campus should be reported by calling 402.559.5555. Security/Public Safety can dispatch officers to the location and others to meet and help guide emergency responders quickly to the location of the emergency.

Medical Surveillance Policy – UNMC Policy #2011
The purpose of the medical surveillance program is to evaluate the health of employees related to their potential occupational exposures to hazardous agents. Managers and supervisors must: Update position descriptions as needed to accurately reflect the elements of the job including exposures, personal protective equipment, physical requirements, etc.; Review employee job tasks against the medical surveillance criteria listed in the medical surveillance policy: Coordinate with Employee Health when medical surveillance is indicated for an employee; Encourage employees to self-identify to Employee Health any medical concerns involving occupational exposure risks.

Pets in the Workplace Policy – UNMC Policy #2008
Pets are not allowed inside any building where UNMC provides functions or services. See the policy for information on service animals and exceptions related to the pet therapy program. The Pet Therapy Procedure provides exceptions where pets are permitted in the workplace for therapeutic purposes.

Radiation Safety Manual
The Radiation Safety Manual is a book of procedures and useful information for the radiation worker who uses either radioactive materials or radiation-producing machines in a laboratory setting at UNMC.

Reporting Safety Hazards and Concerns
Managers must make sure all actual/potential safety hazards or injuries are reported to UNMC Environmental Health and Safety.

Respiratory Protection
Any employee who uses a respirator as a part of their job must be medically evaluated, be fit tested annually and trained proper use of respirators. This includes the disposable N-95 respirators. Contact Environmental Health and Safety for more information.

Safety Data Sheets (SDS)
A Safety Data sheet is a document that provides information on the properties of hazardous chemicals and how they affect health and safety in the workplace. UNMC has contracted with MSDS online for Safety Data Sheets (SDS) retrieval services. Each department should have a listing of the hazardous materials that are located in their areas. A link to the online safety data sheets can be found on the Quick Links or Services page: Safety Data Sheets.

Severe Injury and Fatality Reporting Procedure
Managers and supervisors must immediately contact Security/Public Safety Dispatch at 402.559.5111 whenever there has been a work-related fatality or a severe work-related injury of an employee. This includes those work-related incidents that may have occurred off campus or while the employee was traveling for work. These incidents may need to be reported to OSHA to meet reported requirements.

Severe Weather
For severe weather your department must have a plan. Employees should review the procedures routinely. For Severe Thunderstorm Warning be prepared for loss of power and the need to evacuate if conditions worsen. For Tornado Watches make sure to review the action plan, make sure you have access to your designated safe area, secure loose items, do not start procedures that cannot be quickly and safely terminated and be prepared to evacuate. If a Tornado Warning is issued; initiate action plan, evacuate to the “Designated Severe Weather Safe Area” or to an unexposed interior area on a lower level below grade. If possible, try to put at least two walls between you and the outside. If working in the hospital report to a patient
floor to assist with patient evacuation. Stay in the safe area until the warning has expired or the all clear has been issues.

**Shipping Hazardous Materials – UNMC Policy #2002**
The shipment of hazardous materials or dangerous goods is a serious matter that requires University of Nebraska Medical Center (UNMC) compliance with regulatory requirements. All employees who ship hazardous materials or dangerous goods, which includes dry ice, Category A Infectious Substances affecting humans and/or animals, Category B Infectious Substances (biological substances), patient specimens (exempt human or animal specimens) and cultures, shall follow regulatory requirements for the applicable mode of transportation (e.g., air, ground).

**Space Heaters Policy – UNMC Policy # 2006**
Portable space heaters are prohibited on campus. Areas that issues with temperatures should work with facilities to address.

**Suspicious Mail, Packages and Powders**
Do not handle suspicious mail packages or powder. Keep others away and contact Security/Public Safety Dispatch at 402.559.5555 or 402.559.7315 and give them the location. This procedure gives information on how to deal with these types of events.

**Threats**
UNMC has and Enterprise Threat Assessment Response Team evaluates reported threats. Employees are told if they see something to report it to the supervisor and managers. Managers should contact Security/Public Safety who will take action as needed. The Emergency Procedures guide has a Behavior Emergencies guide, a Threats/Workplace Violence guide and a threats checklist.

**Tobacco-Free Campus Policy – UNMC Policy #1100**
The use of tobacco products and electronic cigarettes is not allowed on campus. This includes UNMC owned and leased properties, as well as parking lots and in all vehicles when parked on UNMC property.

**Tuberculosis Exposure Policy – UNMC Policy #2009**
The Tuberculosis Exposure Policy is designed to help prevent or minimize staff, researchers and student exposure to Mycobacterium tuberculosis and offer appropriate initial treatment/follow-up, when or if such exposures occur. All UNMC staff, researchers, and students who might be exposed to Mycobacterium tuberculosis should review the Tuberculosis Exposure Control Plan.

**Waste Handling Policy – UNMC Policy #2005**
It is important that the various waste be properly identified, segregated, handled and disposed. The Waste Handling in accordance with all applicable local, state and federal regulations and laws. This policy addresses Biohazardous Waste, Chemical and Hazardous Waste, Radioactive Waste, Recyclable Waste, General Waste, Universal Waste, and even Extracted Teeth and Technotrash.

**Youth Safety Policy – UNMC Policy #2014**
This policy provides minimum specific guidelines for activities conducted or sponsored by the University of Nebraska Medical Center. It also addresses requirements for employees and staff who work with youth.

Child Abuse and Neglect Including Sexual Assault Reporting Requirements: Nebraska statutes require any person who suspects or is aware of any child abuse or neglect, including sexual assault, to report such abuse, neglect, or assault to law enforcement or DHHS. Law enforcement is likewise required to notify DHHS of any such incidents reported to them.

Notify the Omaha Police Department (OPD) at 402.444.5600 (local law enforcement agency for those off-site) or Nebraska DHHS at 1.800.652.1999 immediately when these situations are suspected. After notifying the police or Nebraska DHHS, contact UNMC Campus Security/Public Safety at 402.559.5111.
Acknowledgments

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