



Division of Finance

F I N E L I N E



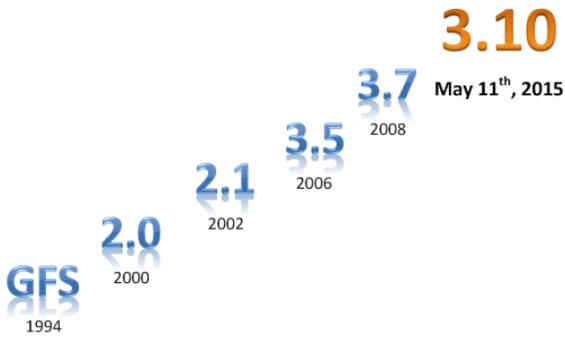
July 2015

Important FY 2015 Closeout Dates

Important FY 2015	1
Closeout Dates	
FINET Upgrade	2
Finance Help Desk	3
PCI Self Assessment	4
Internal Controls	5
Financial Reporting	6
Org chart	
Trainers' Corner	7

For a complete listing of important dates please view the Budget & Accounting Officer's Meeting Handouts on the Division of Finance website – www.finance.utah.gov/reportinghome.html

- 7/13/2015 DFCM quarterly billing for reimbursement of actual expenditures completed.
- 7/13/2015 General Service P-card June billings completed.
- 7/13/2015 Finance to distribute the first closing schedules.
- 7/14/2015 Final Payroll for Old Year posted into FINET.
- 7/17/2015 DTS final Old Year Billing for miscellaneous transactions including direct labor charges from June 22-26.
- 7/17/2015 July Old #2 cut off (AM31/65 reports available 7/20).
- 7/17/2015 June Old Year lease information and fixed asset reconciliations due back to the Division of Finance.
- 7/17/2015 All Old Year bank reconciliations are due to the Division of Finance.
- 7/20/2015 Last day to process all Old Year inter-agency internal transactions where seller notified buyer.
- 7/23/2015 July Old #3 cut off (Am 31/65 reports available 7/27).
- 7/23/2015 Check cancellation cut-off.
- 7/27/2015 Finance distributes final closing schedules.
- 7/31/2015 July Old #4 cut off (Am 31/65 reports available 8/3).
- 8/3/2015 Closing Schedule is due back to the Division of Finance (contact Division of Finance for any exceptions or delays).
- 8/26/2015 Federal grants expenditures (SEFA) and reconciliation schedule due back to the Division of Finance.



FINET Upgrade

On May 11th, FINET was successfully upgraded to version 3.10. Initially all of us, (our Division of Finance support team and you, our user community) had our hands full as we made the transition and dealt with how the new system worked and responded. Two areas proved to be the most challenging. First, almost everyone was affected by the system connection time-out. And second, those users who used the new Shopper (procurement) process for the first time were affected. We think we've resolved almost all of the issues involving these two areas now. Users are staying connected until the thirty minute time-out limit is reached. We hope that those using the Shopper are getting used to it, and can see all of the contracts you need to have access to. Please call the Finance Help Desk @ 801-538-9690 if you are still having problems.

In the near future, hopefully in the next week or two, we'll introduce an improvement to the password reset process which will give users the ability to set password hint reminders and to change passwords on their own. In addition, we have other "time saver" solutions in the works, which we hope to have to you soon.

Our help desk staff have been great during this transition. We so appreciate their skill and the professional way they've handled the many calls they received. We are also grateful for your trust, and your patience with us as we work to address your concerns.

Finance Help Desk Frequently Asked Questions



Ken Roner
Finance Help Desk
Coordinator
801-538-9690

Q. I got an error on my payment document saying that it was a duplicate payment. I'm sure it isn't. What do I need to do to determine whether it is a duplicate payment?

A. You need to go to the DISBMD table in FINET and do a search by the vendor and the vendor invoice number. Click browse or enter, then click on the word 'results' in the lower left hand area of the screen. FINET displays any document for that vendor and vendor invoice.

What to do?

Look at the document that appeared in the results area in the lower portion of the screen. If it is from another agency, it likely is not a duplicate payment, once you have verified that the payment is not a duplicate, you can then make your vendor invoice number unique on your payment document (by adding a number or a symbol) till it passes edits.

Even though it is not a good practice, it may be that you and the other agency both entered a date as the vendor invoice number for the same vendor. (In the future, if the vendor billing or invoice doesn't have an invoice number, please enter something other than the invoice date that will make it unique for your agency, such as your agency number and the last few digits of the payment document number.)

If the payment document is from your agency, you will want to open it and look at it to determine if it is a duplicate payment that someone else entered on a day you were gone – or, you entered earlier and forgot. If this is the case, discard your payment document.

Note: Sometimes the error is due to the fact that you are using the same vendor invoice number on subsequent accounting lines. If you have more than one accounting line and want to use the same vendor invoice, make sure the vendor invoice line number is different on each accounting line.

Payment Card Industry (PCI) Self-Assessment Update



In an effort to keep you up to date with the State's PCI Compliance efforts, articles like this will occasionally be published. Please contact Cory Weeks (cweeks@utah.gov) with questions, concerns or comments on the below information.

New Self-Assessment Questionnaire Review & Attestation Worksheet

First, the State Finance requirements for submission of the PCI Self-Assessment Questionnaires have changed. Moving forward, we will no longer require the submission of the annual attestation form. Instead, we will be using two different mechanisms that we feel will simplify the process of completing the self-assessment process.

Stemming from a need to better define roles between the agency and DTS, State Finance created an Self-assessment questionnaire (SAQ) worksheet. The SAQ Review & Attestation worksheet defines who is responsible for each requirement on each self-assessment questionnaire (A, B, B-IP, etc.). Each worksheet has a section for each role, whether IT or agency, that has responsibility in the SAQ. The idea is for the agency DTS team to talk to the DTS responsible parties on behalf of the agency. The agency will also work with its responsible parties to get the answers. Just to make sure those of us that are a step or two away know the process is working the way it should, we are asking for signatures from those parties.

We have live-tested most of these worksheets and received very positive feedback. The process helps the agencies and Finance know that the answers being marked on the SAQ are more accurate, helping us to identify and fix our shortfalls. The worksheets are new and may evolve as we learn from the process. Please always refer to the Finance web page (see link below) to make sure you are getting the latest and greatest version.

<http://finance.utah.gov/pcicompliance.html>

New Annual PCI Summary Memo

In the absence of an attestation form and in order to continue providing an accounting of PCI Compliance to the agency executive level, Finance will begin sending out a summary memo each year. The letter will outline agency responsibilities for credit card acceptance as well as confirm merchant accounts and compliance issues for each agency.

Automated Mapping Tool

Also, many agencies have been informed that DTS purchased an automated mapping tool. This tool will not immediately relieve agencies of the need to provide manual network maps and data-flow diagrams. DTS and agencies that have IP-based credit card acceptance methods need to use those manually drawn diagrams to validate the information provided on the automated tools.

Mobile Credit Card Acceptance Policy

Those agencies using, or interested in, Chase Mobile Checkout should be aware that the State's draft mobile credit card acceptance policy has been updated and is pending review to become official State policy. The security requirements for using a mobile checkout will be provided by DTS, but managed by the agency. The Mobile Device Management (MDM) tool provided to State mobile device users will have a PCI-based profile that users should select for their mobile devices accepting credit cards. The policy can be found on the Finance PCI Compliance website referenced above.



I ♥ Internal Controls

Tone at the Top

“Tone at the top” is a term that originated in the field of accounting and is used to describe an organization’s general ethical climate, as established by all levels of management. Having a strong tone at the top is believed by ethics experts to help prevent fraud and other unethical practices.

The concept of tone at the top originated in CPA firms and referred to the attitude of an organization’s senior leadership towards internal financial controls. It was popularized after (1) a series of major corporate accounting scandals such as those affecting Enron, Tyco International, Worldcom, and several others and (2) the concept was strongly emphasized in the Sarbanes-Oxley Act of 2002 as important in the prevention and detection of fraud and other unethical financial practices. Today, the term is applied broadly to many fields of general management.

The tone at the top is often considered to permeate an entire organization, and good tone at the top is considered a prerequisite for solid governance. It has been said that management has a dual role: creating codes of conduct, and living by them. Good organizational tone is set through policies, codes of ethics, a commitment to hiring competent employees, and the development of reward structures that promote good internal controls and effective governance.

Poor tone at the top may include a disdain for internal controls, a belief that compliance with the law is sufficient for defensible ethical conduct, the canvassing and accommodating of some stakeholders but not others, blaming higher-ups or colleagues for unethical practices, having one’s judgment clouded due to conflicts of interest, and an overemphasis on meeting objectives at the expense of ethics.

Recently, all State agencies completed a Control Environment internal control questionnaire to help them assess their tone at the top.

For questions regarding Internal Controls, please call Dean Eborn, CPA, at 801-538-3450 or John Baylis, CPA, at 801-538-3747

Financial Reporting and Transactions Groups

Organizational Chart

Marcie Handy
mhandy@utah.gov

801-538-1678

Assistant Comptroller

Financial Reporting Group

Darin Janzen 801-537-9081
djanzen@utah.gov
 Manager, Financial Reporting

Lynn Bodrero 801-538-3119
lbodrero@utah.gov
 Single Audit reporting, Federal Grant accounting,
 GASB Pronouncements

Julie D'Alesandro 801-537-9263
jdalesandro@utah.gov
 General Fund and Education Fund accounting, Legisla-
 tive monitoring, FINET Fund setup, FundInfo database,
 Land Exchange allocation

Jessica Hardy 801-538-1715
jlhardy@utah.gov
 Budgeting, Court Surcharge allocation, Mineral Lease
 allocation, Comp and Excess Pools, Term and OPEB
 Pools

Lynda McLane 801-538-3098
lmclane@utah.gov
 Internal Service Fund accounting and compliance,
 Statewide Cost Allocation Plan Section II, Expense
 Object code setup

Deborah Memmott 801-538-3171
dmemmott@utah.gov
 Trust and Agency Fund accounting, Trust and Agency
 Bank Reconciliations, Cash and Investment monitoring

Sean Williford 801-538-9532
 Bond and Debt Service Fund accounting, Capital Proj-
 ect Fund accounting, Intrafund Eliminations

Financial Transactions Group

Rob Miles 801-537-9016
rdmiles@utah.gov
 Manager, Financial Transactions

Scott Blackham 801-538-3129
sblackham@utah.gov
 Fixed Asset accounting, Lease accounting

Amanda Hensley 801-538-3128
ahensley@utah.gov
 Cash Management Improvement Act (CMIA) monitor-
 ing, Enterprise Fund accounting

Susan Lundquist 801-538-1683
slundquist@utah.gov
 Loan servicing

Derek Nutter 801-538-3325
dnutter@utah.gov
 Loan accounting

Gary Morris 801-538-3371
gmorris@utah.gov
 Revenue and Receivable accounting, Dedicated Credit
 monitoring, Revenue Source code setup, A/R Exemp-
 tions

Cory Weeks 801-538-3173
cweeks@utah.gov
 PCI-DSS compliance and monitoring

Vacant - Contact Rob Miles 801-538-3126
 Payment Tracking System, Depository Bank Reconcili-
 ations, Credit Cards setup

Trainers' Corner



Trainers Larry Simpson and Brook McElmurry conduct monthly FINET training courses. You can register for classes by going to the Division of Finance web site at www.finance.utah.gov, select TRAINING under FINANCE QUICK LINKS, click on the FINET training course you wish to sign up for and then follow the onscreen instructions.

July, August and September

For FINET Upgrade Training please access this link: <http://finance.utah.gov/finetupgrade.html>

Cash Receipts
7/15 – 8 am – noon

Data Warehouse
7/14 – 1 pm – 4 pm

Fixed Assets
7/22 – 8 am – noon

Internal Transactions
7/15 – 1 pm – 5 pm

Inventory
7/21 – 8 am – noon

Payables
7/14 – 8 am – noon

Budget
8/12 – 1 pm – 4 pm

Cash Receipts
8/19 – 8 am – noon

Data Warehouse
8/4 – 1 pm – 4 pm

Fixed Assets
8/19 – 1 pm – 4 pm

Internal Transactions
8/5 – 1 pm – 5 pm

Inventory
8/11 – 8 am – noon

Payables
8/4 – 8 am – noon

Purchase Orders
8/25 – 8 am – noon

Receivables
8/5 – 8 am – noon

Requisitions
8/25 – 1 pm – 4 pm

Budget
9/16 – 1 pm – 4 pm

Cash Receipts
9/23 – 8 am – noon

Data Warehouse
9/10 – 1 pm – 4 pm

Fixed Assets
9/9 – 1 pm – 4 pm

Internal Transactions
9/23 – 1 pm – 5 pm

Inventory
9/22 – 8 am – noon

Payables
9/10 – 8 am – noon

Purchase Orders
9/15 – 8 am – noon

Receivables
9/16 – 8 am – noon

Requisitions
9/15 – 1 pm – 4 pm