

Stony Brook University

Office of the Provost

Budget Manual

for

Fiscal Year 22/23

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I. The Office of the Provost Budget Team

The Budget Generalist is your liaison with the Office of the Provost's budget office. This individual is your first point of contact, and who you will work with for general questions regarding *journal transfers, allocation transfers, State Payroll Transfers (PDME's), individual accounts, monthly financial reports, quarterly financial reports, development and shepherding of fee proposals, development of Income Fund Reimbursable (IFR) deficit reduction plans, Form II disbursements that are registered on our commitment file.*

NOTE:

- All transfers should be sent to provost_journaltransfers@stonybrook.edu with any necessary backup or support schedules.
- Position Compensation Request (PCR) forms and OTPS Exemption requests should be sent to provost_preapprovals@stonybrook.edu.

Budget Generalists

These individuals are your first point of contact, and the people who will help you with general budget information and processes.

Robert Congiusta

Robert.Congiusta@stonybrook.edu

- General budget questions or inquiries
- Journal transfers (allocation, expense, PDME, revenue)
- Questions regarding account discrepancies
- Report inquiries
- Deficit Reduction Plans (DRP)
- IFR Accruals
- Mid-Year condition
- Request Form II disbursements
- Rate reviews
- COVID-related expenditures

Senior Staff Assistant for Budget

Darschay Harris

Darschay.Harris@stonybrook.edu

- Calendar requests for the Senior Director of Financial Planning and Analysis for Academic Affairs and Associate Vice President for Academic Budget and Financial Planning
- Account request forms
- System access requests for SUNY BI, Campus Budget Module (CBM), SBU Reporting, RF Reporting, and PeopleSoft
- Meeting & event preparation
- System training calendars

Senior Budget and Financial Planning Analyst

Dana Jecewiz

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- Campus Budget Module (CBM) process questions
- Summer, Winter & Grad revenue distribution
- End of year condition
- Rollovers
- Budgets to actuals
- Property control oversight
- Position Compensation Request (PCR) process
- Commitment file questions
- Central provostial accounts
- Registering new financial commitments

Senior Director of Financial Planning and Analysis for Academic Affairs

Maria Ficken

Maria.Ficken@stonybrook.edu

- Fee proposal approvals
- Tuition revenue sharing calculations (SUTRA & academic year)
- Fiscal year close out
- State & IDC targets
- Cash balance analysis
- ERP implementation
- Budget approval on hiring (faculty and staff)
- Quarterly budget manager meetings

Associate Vice President for Academic Budget and Financial Planning

Diane Fischer

Diane.Fischer@stonybrook.edu

- Approving new financial commitments
- Budget planning process
- Unit budget meetings
- Resource reallocation
- Multi-year plans
- Financial forecasting
- Strategic planning and analysis

II. Fund Sources

a. State Operating

State funding sources include State Operating Fund, Income Fund Reimbursable (including dormitory income fund reimbursable, hospital income fund reimbursable, and state university tuition reimbursable accounts). State operating fund accounts **cannot receive cash, only allocation**, through the budget planning process (as planned in the campus budget module). State accounts are managed by the University Budget Office.

State operating accounts are funded from state tax dollars and campus revenues from tuition and certain other sources. Units receive a state operating allocation as part of their base budget. Changes to state allocation are commonly the result of internal financial plan implementation and salary increase funding.

SUNY submits their budget to NYS on October 1st and the University is notified of our allocation after that time.

Each unit is expected to align their costs to the appropriate sources and in particular, the use of state operating funds. As a university we must appropriately balance our use of state operating funds and therefore, we may need to initiate state operating fiscal fund swaps to balance the overall campus state operating fund balances.

b. Income Fund Reimbursable (IFR)

Income Fund Reimbursable (IFR) accounts are self-supporting accounts which track cash collections and the matching expenditures associated with the educational and related activities provided to students and other customers. An IFR account differs from a State Operating account in that it is supported by cash receipts. **IFR accounts are the only accounts where you can deposit cash.** Note: Revenue deposited into an IFR accounts takes **two weeks** to post into the SUNY BI system. IFR accounts are managed by the University Accounting Office.

The primary sources of revenue for IFR accounts include salary recovery (payment from Research Foundation grants for the salary and fringe benefits¹ of individuals on the State payroll who work on sponsored programs); fees, fines, deposits and rentals (parking, photocopying, rental of campus facilities, library fines, etc.); grants and awards and continuing education programs. IFR accounts are charged an administrative fee of 15%². You can request a *fee waiver* by writing a justification to the budget coordinator, who will need to seek approval from the Associate Vice President for Academic Budget and Financial Planning, University Controller and VP for Finance.

Over the past several years, the Budget and Accounting Offices have advanced and documented a budget development process for Income Fund Reimbursable Accounts. This process assures a reasonable level of annual review of the past operating experience by account, and projects allocation requirements for the upcoming year. **Any accounts with serious cash deficit balances will be structured to correct the negative cash conditions through the rate process, revenue and expenditure projections or allocation decisions within the following fiscal year.** If a deficit is of a size that prohibits a solution through the traditional budgeting techniques, vice presidential area representatives must identify "other resources" that can be

appropriately used to resolve the deficit. "Other resources" may include the VP area's state carry-forward surplus or if there is no carry-forward surplus or the surplus is insufficient, then the state allocation for the following fiscal year will be charged for the shortfall. Account deficits must be resolved within one year. The only exception to this policy concerns the management of service-related IFR accounts whose rates are reviewed every two years. If a deficit develops in such an account, the elimination of that deficit must be addressed as part of the next rate development exercise. The revised rates in those accounts should be established to eliminate the existing deficit and prevent the development of a new deficit. Please review the [IFR Deficit Policy](#) for more information.

There are four types of Income Fund Reimbursable accounts:

- i. General Income Fund Reimbursable (IFR): Self-supporting groups of accounts that have activities essential to the campus' mission and operations. These accounts have clear and defined income/expenditure relationships. A unique aspect of these accounts is their ability to carry forward cash balances from one fiscal year to another.
- ii. SUTRA Income Fund Reimbursable (State University Tuition Reimbursable Account.) These accounts were established to provide the State University the ability to retain a limited amount of tuition revenue generated in excess of targeted levels and create entrepreneurial incentives for campuses to expand enrollment and programs. State University Tuition Reimbursable Accounts utilize income from self-supporting programs funded from tuition revenue related to overseas programs, contract courses, summer session & enrollment overflow. SUTRA accounts operate similar to Income Fund Reimbursable accounts.
- iii. Dormitory Income Fund Reimbursable (DIFR): Dormitory Income Fund Reimbursable is a group of accounts that are self-supporting and used to administer room rental fees and charges. DIFR accounts operate similar to State Operating accounts.
- iv. Hospital Income Fund Reimbursable (HIFR): Operating accounts used to support the costs associated with the University Hospital. This allocation is supported through patient care revenue.

c. Research Foundation (RF)

Research Foundation accounts record research, instruction, and training activities conducted under the direction of university faculty and staff and funded by organizations both external and internal to the University. There are two distinct types of RF accounts: Sponsored accounts and Non-Sponsored account.

- i. Sponsored Funds³:
Accounts that are funded by sponsors external to the University (i.e. National Science Foundation, NASA, NYSERDA, etc.). These external awards are for programs of research, scholarly and creative activities, education and training, and public service.

¹ Fringe benefit rates vary. Current rates are available [here](#)

² Salary off-set accounts are not charged an administrative overhead fee

³ For more information about preparing a budget for a sponsored project, [visit here](#)

- [Cost Sharing](#): Faculty may cost share a portion of their effort if they are not 100% committed to teaching and other academic duties. In addition, third parties can provide cost sharing. The researchers should obtain a letter from the third party on letterhead from an authorized official that indicates that party will provide cost sharing in the amount that is required. The PI can also request cost sharing from the department, college, or Office of the Provost. In most cases, cost sharing requests will be considered by the Office of the Provost, if required by the sponsor.
- Salary Offset & [Effort Reporting](#): Effective Spring 2018, faculty who receive awards will be required to sign off on their effort forms with Grants Management at the time of award. More information will be distributed by the Office of the Vice President for Research.

ii. Non-Sponsored Funds:

Non-sponsored funds are often accounts funded by organizational entities internal to the University.

Facilities and Administrative (F&A) costs or overhead costs, are real costs related to sponsored projects that are not easily attributable to individual projects. Examples include maintenance, security, heating, cooling, lighting, space, disposal of hazardous waste, secretarial support, and cost of compliance with government regulations.

The University recovers the total direct and indirect costs for each sponsored award unless specifically prohibited or limited by the funding agency. Because indirect costs cannot be specifically identified with a particular sponsored project or activity, they must be recovered from funding agencies through the application of the federally approved F&A cost rates. All proposals for external funding must include budget requests for F&A costs using the appropriate federal F&A cost rate.

Indirect cost rates may be found here: https://www.stonybrook.edu/commcms/osp-ogm/rates_and_institutional/F_A_rates.php

Each year, a percentage of indirect costs recovered from sponsored projects is distributed to academic units based upon the affiliation and relative contributions of key personnel to project objectives. At the discretion of the Provost, indirect cost (IDC) distribution may occur to other (non-academic) university entities. The current IDC distribution formula return is 4% to the Deans, 9% to the departments and 1% to humanities. Delivery of the IDC formula distribution for the prior year occurs in the fall (usually October.)

d. Stony Brook Foundation (SBF)

SBF accounts are funded primarily from gifts, endowed funds, grants and fee revenues. Funds managed by Stony Brook Foundation (SBF) are to support and promote SBU activities and programs. **SBF does not accept state funds.** Many of these accounts have restricted use, and must be used in conformity with the original intent of the agreement.

Stony Brook Foundation will communicate all endowment payout amounts in April, and the unit will be receiving the actual payout in mid-August. SBF will continue to use a five-year moving average of the endowment market value, but the ending period has been moved from June 30 to December 31. In addition, the endowment payout rate for FY 22/23 has been approved at 4.5% with a 1% administration fee.

III. Overview of the FY 22/23 Planning Process

a. Goals for the Budget Planning Process

The Office of the Provost is responsible for sustaining academic excellence and sound budgetary practices across our colleges, schools, research centers, and institutes. As we move toward the 22/23 budget cycle, we remain committed to key strategic goals: Enhancing Faculty Success, Enhancing Student Success, Enhancing Diversity and Inclusive Excellence, and Enhancing Institutional Effectiveness. To support these goals, we continue to implement an academic budget and planning process that is transparent, builds trust, and positions Stony Brook University for sustainable growth.

Strategic Financial Goal: Implement an academic budget and planning process that aligns with the University’s mission and budgeting process, provides transparency, builds trust, and positions the Stony Brook for sustainable growth.

We have several objectives that will help lead us to this goal, including:

Financial Objective 1: Allocate resources strategically.

- Objective 1a. Understand our current financial condition, including out-year projections.
- Objective 1b. Identify areas for improving institutional effectiveness.
 - Academic cost modeling & data driven revenue projections.
 - Understand capacity (i.e. workload analysis)
- Objective 1c. Communicate our financial position to units in a transparent way.
- Objective 1d. Identify mission-centric growth opportunities, establish buy-in, and allocate resources accordingly.

Financial Objective 2: Implement policies and procedures to support sustainable growth.

- Objective 2a. Create a system of checks and balances.
 - Decentralize budget transactions.
 - Set unit expectations and provide appropriate resources, including accountability for managing within budget constraints.
 - Implement a regular process for unit financial condition reporting (i.e. monthly, quarterly) and track variances.
- Objective 2b. Implement a process for receiving, approving and recording financial commitments.
- Objective 2c. Identify and implement policies/procedures/budget models that support growth and sustainable activities.

In an effort to communicate regularly the following meeting and report structure has been set up:

- Monthly: Unit Budget Managers will receive a copy of their operating report for review. Any variances that seem unusual, will be reported to the Senior Budget and Financial Planning Analyst for further conversation with the unit.
- Quarterly Budget Officer Meetings: These meetings will be run by the Associate Vice President for Academic Budget and Financial Planning. All unit budget managers are **required** to attend these meetings **or send a representative**. Important information about the planning process and University-wide initiatives will be shared. These meetings are scheduled well in advance.
- Unit Budget Meetings: Deans/Directors and unit budget managers will meet three times per year (fall, mid-year, and spring) with the Provost and the Associate Vice President for Academic Budget and Financial Planning to discuss unit budget condition, challenges & opportunities, hiring, etc.

b. The Budget Planning Process

CBM is a planning tool that allows our units to plan for future fiscal years. Each fall, the tool is opened by the University Budget Office, and units are asked to plan for the next budget cycle. The Budget Office is responsible for distributing the **University Budget Calendar**, found here: <https://www.stonybrook.edu/commcms/budgetoffice/campus-budget-info/budget-process/important-dates> . As a unit that reports to the Provostial Area, you should abide by the **Provost Budget Calendar**, below.

Large academic and administrative units should (if they have not already done so) develop their own, internal planning process that aligns with the requirements below, seeking the input of faculty, staff and students (as appropriate).

- Build in budget flexibility, so that both the Provostial area and university can respond timely to opportunities and/or challenges

c. The Provost Office Budget Calendar

Date	Task
07/01/2022	First day of FY 22/23
Late November	FY 21/22 EOY condition rollover identified
Early December	Updated FY 23/24 Commit File sent to Units
Early January	Mid-Year Condition templates distributed to units - prepopulated with CBM Data
Mid-January	FY 23/24 Commit file responses due from Units to Provost Office
Mid-January	Run Operating Statement as of Dec 31 st for Mid-Year Condition Reporting
Late January	FY 22/23 IFR Accruals are due in CBM for December (Accounting Period 6)
Last Week of January	Centers & Institutes Mid-Year Condition Reporting due to the Provost Office. Review meetings to take place first two weeks of February. Academic & Administrative Area's Mid-Year Condition Reporting also due to the Provost Office – Review meetings to take place the third week of February
Last Week of January	Budget Office finalizes FY 22/23 Human Resources data load in CBM
03/01/2023	CBM Prep Budget Meeting / Training (mandatory) CBM training (New Users) – Please us the Budget Office's YouTube Channel
03/01/2023	FY 23/24 CBM Budgeting Cycle opens
Early March	FY 23/24 State and IDC Targets & final commit will be sent to units
Early March	FY 22/23 Summer revenue distributed to units
Early March	Authorization to Recruit Template for Staff and Faculty distributed to Units
Mid-March	Centers & Institutes begin CBM meetings w/Provost Office
Mid/Late March	Authorization to Recruit Template for Staff and Faculty due to the Provost Office
04/01/2023	Administrative and Academic Units begin FY 23/24 CBM Review meetings w/Provost Office
Early April	Annual Strategic Hiring Process Meetings for all units to be scheduled with the Provost and senior leadership team - (mandatory)
04/22/2023	FY 23/24 CBM Budgeting cycle closes (All units must be tied to target)
04/28/2023	All FY 22/23 Form II commitment requests deadline
Early May	FY 22/23 Winter revenue distributed to units
05/13/2023	FY 22/23 Declared Rollover deadline
07/01/2023	FY 22/23 IFR Accruals are due to CBM for June (Accounting period 12)

d. Unit Budget Meetings with the Provost

Deans and Budget Managers will be asked to report to the Provost and the Associate Vice President for Academic Budget & Financial Planning on the financial health of the unit three times per year (fall, mid-year, and spring). Meetings will be scheduled for one hour and will follow the format below:

Strategic Hiring Plans: Spring 2022

Units should develop a presentation and fill an Authorization to Recruit (ATR) form outlining hiring requests for tenure track (TT) and new non-tenure track (nTT) for 23/24 academic year and for new staff members for the FY 22/23 academic year.

NOTE:

- *for TT hires requests should be submitted for searches occurring in 22/23 and hiring in 23/24*
- *for new nTT hires requests should be submitted for searches occurring in 22/23 and hiring in 23/24*
- *for new staff hires requests should be submitted for searches occurring in 22/23 and hiring in 22/23*

Presentations should provide an overview of the unit's mission and vision grounded in the practical, short-term needs necessary to sustain operations, achieve the vision, solve challenges and capitalize opportunities.

Presentation Guidelines:

Each presentation should address the following points (one slide each):

- [Strategic vision]: Strategic vision or guiding principles to fulfill the mission;
- [Activities]: Core and strategic activities;
- [Challenges and opportunities]: Challenges to operations and to the realization of the vision; opportunities;
- [Hiring plans within vision]: How the proposed hiring fits the vision, addresses challenges, and realizes opportunities;
- [Selection process and communication]: Hiring requests selection process, communication and transparency plan within the unit.

Deans should prepare for a 20 minutes long presentation followed by 15 minutes discussion. Deans can be accompanied by one budget person.

Authorization to Recruit (ATR) Form: Please see the attached Excel file and fill the ATR form taking into account the following considerations:

- Rank all requested hires (TT+nTT+staff) within a single priority list;
- Provide a brief justification for each request briefly indicating the strategy and need behind it;
- Prioritize existing commitments that the unit would like to honor and provide details about each commitment;
- Include hires that have been discussed with centers and institutes;
- Ensure that shared hires across units are mentioned in the ATRs of the collaborating units (and are prioritized properly in both requests);

Deadline: The deadline for submission is **March 25, 2022**. Please send completed PowerPoints and ATR files to Darschay Harris, darschay.harris@stonybrook.edu. The Office of the Provost will begin scheduling unit meetings for April, with the expectation that by June 30, 2022, units will have approved hiring plans in place.

Mid-Year Condition Format:

The mid-year condition report is a way for units to update the Provost's Office on any changes (anticipated or unanticipated) in the financial health of the unit. You will be expected to report on progress in meeting your financial targets. A template will be provided, including a spending plan for the remainder of the fiscal year.

End of Year Condition Format:

Units will discuss current year ending position and multi-year planning ***template will be provided.***

Additionally, any hiring requests for the next fiscal year will be discussed with the Provost. One week in advance of your meeting, units must submit a hiring plan for review. All plans must follow the ***template provided*** in the appendices.

You will receive formal approval from the Provost's Office on searches once your meeting takes place. ***All commitments from the Provost require a signed RSR form.*** Draft acknowledgement letters, along with completed [RSR](#) forms, must be submitted to the Provost's Office for review and written approval ***before*** they are sent to the prospective faculty member. All draft acknowledgement letters must follow the format approved by the Human Resource Services, see appendices.

Staff hires submitted for approval must be identified in your unit's Campus Budget Module (completed each fall). If the position was not identified in the CBM, you will be required to identify the funding source when you send the request to the Provost's Office. Requests must have the Dean/Director's approval and unit budget approval, when they arrive for review.

Postdoctoral associates should either be appointed to a research grant or to a startup account, with an account number identified in TMS. Lastly, any on-base increase for faculty positions needs written justification and Provost Office approval. Your written justification must include how you will fund this increase. Draft acknowledgement letters (with RSRs), staff hiring requests, and on-base increase requests should be sent electronically to the Provost's Office.

e. State/IDC (RF) Budget Targets

Your unit is provided a state and IDC (RF) target by the Office of the Provost. This is your operating budget for the next fiscal year. When you enter data into the CBM, you are expected to stay within the allocation you've been provided. In some cases, you may offset some of your planned expenses to other funding sources (i.e. SBF, IDC or IFR). You should ***only offset expenses to a Stony Brook Foundation (SBF) or Income Fund Reimbursable (IFR) account that has the resources available*** to cover your expenses. Beginning with the 2017 opening of CBM, units will no longer post their own "negatives" or "planned revenue." More information will be provided at the training sessions. ***You must tie to your target and will be expected to manage within the constraints of your fiscal year budget.*** Monthly reporting and regular meetings, will ensure units are meeting expectations.

Each unit is expected to do their own budget planning in the CBM. Academic and Administrative units will do their own data entry, and once you have completed the process, you should advise the Budget Coordinator so that a CBM review meeting can be set up with representatives from the Office of the Provost. Centers and Institutes (including the Staller Center) will receive data entry support. You will be contacted early in the process to complete the planning process.

f. Form I and Form II Commitments

When the Provost's Office sends your target, you will also be provided a list of commitments we have registered to your unit. This is from our master commitment file, and it will be the basis for the next fiscal year's Form I and Form II funding. It is your responsibility to review this and advise the Budget Coordinator (written documentation of commitment must be provided) if there is a commitment you feel is missing. **Any commitments not registered on the master commitment file will not be honored.**

Form I commitments are built into your state target, above.

Form II commitments are delivered post-CBM, and only upon request to the budget coordinator. All Form II commitment requests for the current fiscal year must be requested by April 30. This deadline also applies to deferral requests of FORM II commitments to a future fiscal year.

Once the Campus Budget Module is closed, the Budget Office and the Office of the Provost will conduct an audit to verify information (including revenue projections, cross-VP commitments, presidential commitments and salary offset). Unit budget managers may be contacted to provide further clarification.

Once the audits are complete, the file is sent by the University to SUNY, and in the fall (October), your allocations are added to SUNY Business Intelligence based on what was budgeted in CBM. You should monitor activities in SUNY BI throughout the year, making sure transactions are correct.

g. Contractual Salary Increases

All units will be expected to plan for contractual salary increases at 3% per year, for all bargaining units. Contractual salary increases will be compounded. Units should plan for this.

h. Budgeting Negatives

Units will not be allowed to input negatives in CBM until each unit meets with the Provost's Office Budget team. For these meetings you should come prepared to discuss all negatives with appropriate justification. Once the anticipated negatives are verified, they can be entered into the transfer panel in CBM. Reach out to the Budget Generalists for guidance on using the transfer panels.

i. Enrollment Planning.... UNDER DEVELOPMENT

j. Space and Capital Needs...UNDER DEVELOPMENT

k. Research and Productivity... UNDER DEVELOPMENT

IV. Managing Your Budget

a. Budget Call Letter (January 19, 2022)

Assumptions:

- State Operating Aid: We assume the State Operating Aid will remain flat for 22/23.
- CSIs: Units should budget for 3% increases in the out-years for contractual salary increases. Units are obligated to cover increased CSI costs within their current allocation.
- Enrollment and Tuition Revenue: We expect to see modest increases in tuition revenue in 22/23 as a result of the new tuition revenue sharing program.

Tuition Revenue Sharing: 21/22 earnings will be distributed in 22/23 targets. The amounts will reflect spring, Day 15 enrollment. Reports can be found here.

- Budgeting Wages:
 - o New York State Minimum Wage Plan: In April 2016 a statewide \$15 minimum wage plan was enacted. For workers in Nassau, Suffolk and Westchester Counties, the minimum wage would increase by \$1 each year until reaching \$15 on 12/31/2021 [see grid below]. If this impacts your area, please adjust your planned expenditures accordingly.

General Minimum Wage Rate Schedule			
	12/31/2019	12/31/2020	12/31/2021
Long Island & Westchester	\$ 13.00	\$ 14.00	\$ 15.00

- o The Federal Fair Labor Standards Act: The minimum salary threshold for exemption from overtime provisions is \$35,568 (\$684 weekly or \$1,368 bi-weekly).
- o For RF Employees only: New York State has a higher minimum salary threshold for exemption from overtime provisions and will increase to \$58,500 (\$1,125 weekly or \$ 2,250 bi-weekly), effective December 31, 2021. This change impacts only certain RF positions.
- o For Adjuncts: Salary minimums change per three-credit course per semester for part-time academic employees not paid on an hourly or basic annual salary basis. Beginning July 1, 2022: University Centers and Health Science Centers' minimum adjunct wage is \$3750.

Budgeting Guidelines:

Consistency among all areas in budgeting practices is critical as we begin campus-wide efforts to monitor "budget to actuals". Units will be asked to explain variances in quarterly budget meetings. Specifically, units are required to:

- Align all revenue sources with uses (state, research, Stony Brook foundation, etc.). Expense classifications should be as accurate as possible. Accuracy in coding will aid you during your quarterly budget meetings when discussing budget to actual reports.
- Any budgeted revenue (all-funds) should be within a reasonable percent of historical actuals. Exceptions may be granted by BFP&A, with provided justification.
- CBM automatically computes CSI costs for all appropriated funds (State, IFR, SUTRA, Dormitory, Hospital & Veterans Home). Any planned salary increases for RF employees will need to be manually inputted in the budget system.
- OTPS uses should be in alignment with historical actuals. Exceptions may be granted by BFP&A, with provided justification.
- When budgeting IFR activity, keep budgeted revenue and budgeted expenses within 10% of your historical actuals. This 10% limit applies to activities above \$50,000. Exceptions require approval from the Senior Vice President for Finance and Administration or their designee.
- Units must budget for all planned expenses, including those expenses being supported by prior year rollover. Specific GL classes will be used for these entries and provided in the coming weeks

during training sessions.

- Units must budget for unplanned attrition. SBU Reporting: Home > Finance > VP Reporting > Budget Management > Attrition Retention Transfer. This report can be used to help you project attrition. Specific GL classes will be used for these entries and provided in the coming weeks during training sessions.

b. Vacancy Guidelines

Goal: The goal of these guidelines is to: (1) hold as many vacated tenure track faculty lines as possible for the once-per-year SBET process for strategic reinvestment, and (2) provide much more flexibility to the VP areas for operations management. CSIs remain the responsibility of units until there are new dollars on the table.

Guideline: All vacated tenure track faculty lines are returned centrally (vice-presidential level) for strategic reinvestment with few exceptions.

Process: Position Compensation Request (PCR) Forms are still required for all actions, but approval authority varies depending on the request (See chart below.)

Quarterly Review: Each quarter, the Budget, Financial Planning & Analysis Office will meet with VP areas to make sure area budget to actuals are on target. Areas that are experiencing financial challenges may face further oversight in the hiring process, as directed by SBET.

	Ongoing Review	Twice-Per-Month Process	Yearly Process
Reviewing Body	Vice-Presidential Area with quarterly review by Budget, Financial Planning & Analysis	Senior Executive Team (SET)	Strategic Budget Executive Team (SBET)
Members	Vice President & Vice President Coordinator	Senior Vice President for Administration, Senior Vice President for Finance, Chief Deputy to the President	President, Provost, Chief Deputy, Vice President for Strategic Initiatives, Senior Vice President for Administration & Senior Vice President for Finance, EVP Health Sciences
Request Types	<ul style="list-style-type: none"> - Budgeted Adjunct Requests or adjunct request to cover TT vacancies - Budgeted Independent Contractors - Budgeted Critical Staff (with policy approval from SET) - Budgeted GFT Faculty 	<ul style="list-style-type: none"> - Policy Changes around Exceptions - Unit-Funded New Lines - Increased Duties, Equity Reviews, Other Increases 	<ul style="list-style-type: none"> - Reinvestment of Vacated Lines (TT faculty) and long-term staffing plans - Unfunded/unbudgeted lines - OTPS requests for new funding

c. Reporting

Reports will automatically be sent to Deans/Directors and budget managers, monthly. As Unit Budget Managers, you should make sure you're looking at unit reports regularly, above and beyond those sent to you, including:

Stony Brook University Reporting: An all-funds view for both HR and Finance activities.
Note: IFR funds are not cash. Use SUNY BI for IFR cash balances.

[Account Expenditure Summary \(AES\) Reports:](#) Monthly expense reports, monthly cash collections

[RF Report Center:](#) Monitor research accounts

[SUNY Business Intelligence:](#) Day-to-day, account level reports, IFR cash balances

If you need access to any of these systems, or to a particular account, please reach out to Darschay Harris. University [budget policies](#) should also be reviewed and understood by all budget managers, including the IFR deficit policy.

Training on these systems are available through a variety of resources on campus. Contact Darschay Harris in the Office of the Provost if you'd like more information on training sessions.

d. Systems

The following is a list of various financial reporting systems, manuals, and training resources available to Stony Brook University employees. Links are provided to log-on pages and available training/help information.

PeopleSoft

PeopleSoft Financials:

Oracle financial suite is primarily used by the University's accounting department, Stony Brook Foundation and Faculty Student Association for local financial transactions.

Link to PeopleSoft Financials:

www.StonyBrook.edu/psadmin

Oracle online help guide to PeopleSoft Financials and Supply Chain Management 9.2

Guide:

<https://docs.oracle.com/en/applications/peoplesoft/financials-and-supply-chain-management/index.html>

Access is requested through department managers and granted through data custodian(s). PeopleSoft Financials data custodian is Michael Danielson (Michael.Danielson@stonybrook.edu).

Further information regarding access can be found on the DoIT website:

<https://it.stonybrook.edu/services/peoplesoft>

PeopleSoft Campus Solutions (CS):

Oracle software suite used for student and higher education administration including admissions, scheduling, financial aid, student financials and records & registration.

Link to PeopleSoft Campus Solutions:

www.stonybrook.edu/csprod

Oracle online help guide to PeopleSoft Campus Solutions 9.0:

https://docs.oracle.com/cd/E56917_01/cs9pbr4/eng/index.html

The following is a list of data custodians for Campus Solutions for each particular area:

Student - Catalog and Scheduling	Michael Mooney
Student Employment in SOLAR	Request Form
Student - Financial Aid	Adelaide Kuzmack
Student - Financials	Student Financial Services IT
Student - Graduate Admissions	Melissa Jordan
Student - HSC Admissions	Richard MacDonald
Student - Records and Registration	Michael Mooney
Student - SPD Admissions	Lori Lyons
Student - Transfer	Arlene Feldman
Student - UG Admissions	David Taiclet

Further information regarding access can be found on the DoIT website:

<https://it.stonybrook.edu/services/peoplesoft>

PeopleSoft Human Capital Management (HCM):

Oracle software suite used by the University for human resource administration, including the Campus Budget Module and IFR Accruals.

Link to PeopleSoft HCM: <https://it.stonybrook.edu/services/peoplesoft>

DoIT guide to PeopleSoft HCM: <https://it.stonybrook.edu/help/kb/peoplesoft-help-human-resources>

The following is a list of data custodians for PeopleSoft HCM:

Accounting - IFR Accruals	Sara Lehmann
Budget	Elizenda Mondesir, Kristin Cappellini, Cathy Ribando, Katherine P. Soto
Campus ID Card/Add Non-Employees	Student Financial Services IT

The following link is a PeopleSoft Training guide provided by the Department of Information Technology which provides a guide to getting starting and areas of specific training.

<https://it.stonybrook.edu/help/kb/peoplesoft-training>

Campus Budget Module (CBM)

The Campus Budget Module, or CBM is a custom budget module developed within PeopleSoft HCM that allows users for West and East campuses to prepare and input budget information. Please reference the data custodian list above for PeopleSoft HCM/ Budget. Below is a link to the Budget Office website which provides additional information and resources to CBM, including a manual.

<http://www.stonybrook.edu/budgetoffice/campmod/campmod.htm>

There is a YouTube channel hosted by the SBU Budget Office to help provide information on CBM. The YouTube channel has videos for training for topics such as: Signing on to CBM, Printing CBM reports and CBM Training for New Users.

Here is the link to the SBU Budget Office's YouTube channel:

<https://www.youtube.com/channel/UC1w2Ed9pNjOIWYNcLWmChOQ>

SBU Reporting

SBU Reporting for Finance and SBF:

Local university financial reporting tool that provides financial data and reports in an all-funds manner. For SBU Reporting for Finance, access should be requested by your VP Coordinator. For SBU Reporting for SBF access, it is granted through SBF account report recipient access or account manager access which is managed through ERAS. Users should contact Edward Collins in the accounting department (Edward.Collins@stonybrook.edu) if he or she meets the criteria and does not have access.

Main DoIT Page for SBU Reporting: <https://it.stonybrook.edu/services/sbu-reporting>

Training is offered bi-yearly (Fall and Spring). Information on when sessions are available and how-to sign-up are provided a month prior in the Campus Announcements newsletter.

SBU Reporting is offered for additional areas of the university including admissions, and student records & enrollment. Below is a list of the data custodians for each respective area of SBU Reporting. More information can be found on the above link "DoIT page for SBU Reporting."

Area of Responsibility (Data Custodian)

Undergraduate Admissions - **Dave Taiclet**

Graduate Admissions - **Melissa Jordan**

HSC Admissions - **Richard MacDonald**

Student Records/Enrollment - **Michael Mooney**

Finance - **Sara Lehmann, Mike Danielson**

SUNY Business Intelligence

SUNY Business Intelligence (BI) is the financial application system managed by SUNY Central that has replaced the SUNY SMRT system and some functionality of SUNY Legacy. This application provides financial reports and information for State/IFR accounts.

Below is the link to the SUNY BI website: <https://www.suny.edu/analytics/saw.dll?biehome>

Employees should request access or a change of access through their VP Coordinator. Below is a link to the Budget Office website which provides additional information on SUNY BI including request forms, training documents and procedures.

<http://www.stonybrook.edu/commcms/budgetoffice/managing/sunybi>

**Note: there is a time difference between SUNY BI and SBUR (SBUR data is on a three-day lag).*

ERAS

ERAS (Electronic Record of Authorized Signatures) online system is an electronic signatory system where users can assign and update delegates. The ERAS is also a depository for certain financial reports including the AES reports, Cash Collection Analysis and SBF financial reports. If you have any issues with your accounts, please reach out to your budget generalist to review ERAS account access.

More information on ERAS including frequently asked questions can be found through this link:

<http://www.stonybrook.edu/eras/>

Research Foundation Report Center

Users who manage Research Foundation accounts can run various reports and analyses on their projects and awards through the Research Foundation Report Center which is managed by the Research Foundation of SUNY.

The following is a link to the RF Report Center Log-On page. Within the link on the left-hand side is "User Help." This link provides a list of training guides and quick tips, as well as instructional videos.

<http://www.rfsuny.org/Information-For/Online-Tools-/RF-Report-Center/Report-Center-Login/>

IFR Accounting

Accounting Services provides a comprehensive webpage for users who manage IFRs. It is strongly recommended that IFR managers read through the Income Fund Reimbursable Accounts Manual ([https://www.asa.stonybrook.edu/asa/asaforms/ACTD0001/\\$FILE/ACTD0001.pdf](https://www.asa.stonybrook.edu/asa/asaforms/ACTD0001/$FILE/ACTD0001.pdf)). This document is a guide to employees who manage IFRs to ensure compliance with University and NY State policies regarding IFR accounts.

The following is a link to the IFR Accounting page:

<https://www.stonybrook.edu/commcms/accounting/accounting-services/ifr-accounting/#IFRAccrual>

This page provides many resources, forms and guidelines for IFRs such as:

- Revenue Contracts
- Revenue Transfer Request Form
- IFR Accrual Documentation and Training Video
- IFR Procedure Manual Managing
- IFR Accounts Couse Fee
- Guidelines Service Center
- Guidelines IFR Allocation Worksheet

IFR Cash Handling Procedure

The Bursar Department provides a cash handling procedure manual for employees who manage IFR accounts and collect cash receipts. Employees who are new to handling IFRs with cash receipts are required to meet with the Bursar's Office for initial training on cash handling. For a copy of the cash handling procedure manual, please contact the Bursar's Office.

Additional IFR Training

The Accounting department also offers bi-annual training on managing IFRs and understanding AES reports. This training is offered in the Spring and Fall. Additional information and registration information can be found on the Campus Announcements newsletter approximately one month prior to the training date.

WolfMart 360

WolfMart 360 is Stony Brook University's online requisition system for product and service purchasing. Users are able to review and compare product details and prices among suppliers prior to processing an order. Below is a link to the SBU WolfMart 360 page with log-in link to WolfMart 360, as well as the training page.

SBU WolfMart 360 Page:

www.stonybrook.edu/wolfmart/

Training Page:

<https://www.stonybrook.edu/wolfmart/training/>

Tableau

Tableau is a business intelligence and analytical software used by Stony Brook University for data analysis and ad hoc reporting from the university data warehouse. The data warehouse pulls in information for finance, student finance, student accounts, and HR. The following is a link to the SBU

Tableau server:

<https://tableau.stonybrook.edu>

e. Lapsing Funds

Units should be mindful of cut-off dates during Lapsing Period. The lapsing period runs from July through August. Deadlines vary by fund type, communication about these deadlines will be distributed once the information is available. Use the lapsing period to validate transactions in all accounts and request any

necessary corrections or adjustments in a timely manner. The lapsing calendar can be found here: [Lapsing Funds | Budget Office \(stonybrook.edu\)](#).

f. Rollovers & Deficits

Units have the option of declaring rollover for planned surpluses for a fiscal year by the date specified by the email notification. All declared rollovers will be pulled from your Unit's accounts via an allocation transfer the following weeks after the deadline.

If there is a rollover deficit in any of the unit's fund sources (State, IDC, SBF) the unit will provide a plan as part of the fall budget meeting to resolve the deficit. If a unit is unable to address the deficit in the current fiscal year, the unit can discuss a central loan with agreed upon re-payment terms.

Unplanned surpluses are not identified in advance, please see the [Surplus/Deficit policy](#) on the Budget Office website for how these are handled.

Every unit may not need to budget rollover if the funds are not going to be used this fiscal year. If you are planning to cover any gaps with use of reserves, enter the amount as a negative in one of the GLs provided. Budgeting rollover is not applicable on IFR and SBF accounts. Budgeted rollover for FY22/23 is for in year uses. If rollover is negative, unit must work with the Budget Team on a stabilization plan. The University is reviewing growing fund balances.

g. Revenue Sharing

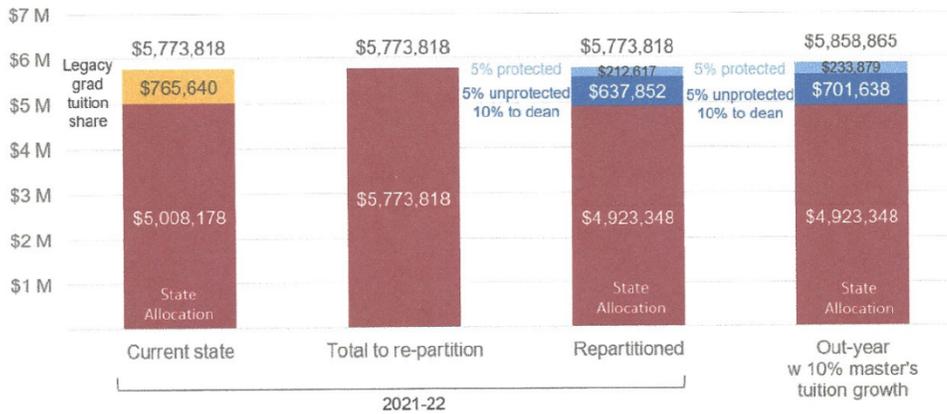
i. Graduate Tuition Revenue Sharing:

New Model Highlights:

- All graduate students taking graduate courses, except the exclusions below:
 - o PhD, MD, DDS, DMA, SUTRA, and activity in Southampton revenue share are **excluded**
- Fall and Spring Semesters
- Removal of baselines simple calculation of:
Student Credit Hours X Credit Hour Rate = Amount Distributed (Based on %)
- Distribution of Revenue:
 - o 10% Department (5% protected)
 - o 10% Dean
 - o 5% Provost
- Sunset legacy graduate tuition share program, including forgiveness of net negative tuition share amounts in most cases.
- 2021/22 allocation to be repartitioned, see below for example

Example 1

6,546 master's SCH
in 2020-21



- Distribution to occur in the subsequent academic year
[New Graduate Tuition Sharing Report](#)

PURPOSE: This report describes how a portion of graduate tuition revenues are allocated to VP areas, deans and departments.

ii. Undergraduate Tuition Revenue Sharing:

No undergraduate tuition sharing programs will be implemented until further notice.

iii. Summer/Winter Tuition Revenue Sharing (SUTRA)

Summer and Winter Revenue is distributed as follows: 7.5% do the Provost, 7.5% to the Dean and 55% (*less instructional costs*) to the department. Deans are responsible for distributing among the respective departments.

Distribution	Provost	Dean	Department
Summer/Winter Session Revenue	7.5%	7.5%	55%

Departments should budget their anticipated Summer and Winter Dean and net Department Revenue portions in CBM in the departmental accounts where the revenue will be received. Gross Summer and Winter Revenue and expenses should be budgeted in the designated Summer/Winter SUTRA accounts. Note these SUTRA accounts should clear by the end of the fiscal year.

Please use the below for guidance on how to budget Summer/Winter Revenue in CBM:

960001-XX	Summer/Winter SUTRA	Summer	Winter
	CBM		
Revenue	146,862	IFR Revenue - 515429 GL Class	IFR Revenue - 515429 GL Class
Fringe + OH 43.9%	64,472		
Balance	82,390		
Instructional Cost	38,500	TS9060 - Summer Revenue	TS9070 - Winter Revenue
55% to Dept - Inst.Costs	42,183	PS9060 - Summer Revenue Commitment	PS9070 - Winter Revenue Commitment
Balance	1,707		
7.5% to Dean	10,954	PS9060 - Summer Revenue Commitment	PS9070 - Winter Revenue Commitment
Balance	(9,247)		
Supported by Provost -99	9,247	PS9045 - Dean Commit Fiscal (Negative)	PS9045 - Dean Commit Fiscal (Negative)
Balance	0		

iv. Indirect Cost Share & Formula Return

Currently, the Provost returns IDC generated over the baseline year of 2009-10 in excess of formula returns to Deans (4%), and Chairs (9%). This funding is returned to decanal units in the fall (typically October).

Current IDC rates can be found at:

https://www.stonybrook.edu/commcms/osp-ogm/rates_and_institutional/F_A_rates.php

v. Tuition on Research Grants (ToRG) revenue

- ToRG revenue is collected on a calendar year basis, from January-December.
- Two-thirds of revenue is returned to graduate program departments for use in the following fiscal year. For example, total year 2018 revenue collected will be returned via allocation transfer to program's state operating account in Fall of 19/20.
- Return must be in the form of an allocation transfer (TS) to state account. IDC and IFR accounts are not eligible to collect returns.
- Graduate programs may use their ToRG return for recruitment, fellowship payments, stipend supplements and other graduate student support.
- One-third of ToRG is retained by the Graduate School in support of graduate student stipends, i.e. Growth lines, Childbirth Accommodation Policy (CAP) program.

Graduate School and Sponsored Program guidelines:

- Requests for sponsored research that include salary support for graduate students hired as Research Project Assistants (RPA) must also include requests for tuition support.
- Proposals submitted prior to April 2017, the tuition rate is \$2,094/semester (Fall 2009)
- Proposals submitted after April 2017, tuition is budgeted at the current 6-credit rate for the entirety of the grant.
- The amount is pro-rated if students are not employed for the entire semester.
- All students appointed as an RPA have ToRG assessment, no G5 exceptions.
- Unsupported students, typically master's students, appointed to these grants will receive tuition scholarships – the same amount charged to the grant for tuition – from the Graduate School.
- The Graduate School works with Office of Grants Management (OGM) on a reconciliation process; tuition awards are only posted after OGM has verified that the grant has been charged tuition, and the amount of tuition charged. This is a manual process done about every month or so. Student may need to pay their bill first, and then receive reimbursement.

Principal Investigators can request ToRG waivers under these criteria:

1. The sponsor has a written policy prohibiting the charging of tuition as a direct cost.
2. The proposal is for a small award where total funding available to the PI(s) for the project will be less than \$50,000 per year AND fifty percent (50%) of direct costs are budgeted for graduate student salaries;
3. The graduate student being supported is teaching full-time (15-20 hours per week) in addition to the work being conducted as a research assistant.

Waiver requests must be communicated to the Graduate School via email at gradfinance@stonybrook.edu before proposal submission.

If a waiver is granted, the Waiver box on the second page of the RF Employee Appointment form must be checked or else ToRG will be assessed. RA Appointments with Waiver box checked are audited by the Graduate School for verification.

vi. ACE Program Revenue Sharing

The ACE Program collects a 15% administrative fee from all academic department transfers on their 50% of gross total revenue, split among the departments who participate. The revenue split is 42.5% of gross revenue between ACE and the academic departments.

The overhead share will provide the academic departments with 42.5% of gross revenue brought in, as will be the case with the ACE Program itself. As Undergraduate Admissions seeks to grow the ACE Program, net revenue should continue to grow for all budget areas that participate.

h. Equivalent Expense Transfers

Equivalent Expense Transfers are discouraged and are being reviewed and approved on a case-by-case basis (i.e. gift agreements with donors with prior approval from executive leadership). Beginning with FY 17/18, if salary and fringe benefits are being recovered by a grant, the appointment should be made directly to the grant account.

i. Fees

UNDER DEVELOPMENT

V. Personnel

As of September 21, 2022, there has been an update to the Stony Brook University Non-Salary Expenditure Restriction Guidelines. Click the link to read the [Hiring and Expenditure Restriction Process](#)

An exemption process to request an urgent expenditure exemption, must meet the criteria listed below. Updated thresholds, effective September 21, 2022, are as follows:

All budgeted requests in the amount of \$50,000 and above must be approved by the area's Vice President or designee (requisitions under \$50,000 and/or contract renewals, do not require VP approval). Requisitions over \$50,000 should be assigned to either the area Vice President or designee in Wolfmart.

[Please see form](#) to be attached to the requisition in Wolfmart. If approved, the area Vice President or designee should approve the requisition in Wolfmart to Procurement.

- Any non-budgeted OTPS requests, or exceptions to the process need SET approval.
- Any non-budgeted OTPS requests for new funding require SBET approval.

This information is also available on the [Administration & Finance website](#), which is linked to below:

- [Hiring and Expenditure Restriction Process](#)
- [Expenditure Exemption Process Flow](#)
- [Expenditure Exemption Form](#)
- [Expenditure Exemption FAQs](#)

Position Compensation Request

All personnel requests must be vetted through a review process. Some hires can be approved at the VP level (Provost), and some are reviewed by the Senior Executive Team (SET), to ensure that they are justified, fiscally responsible, and strategically aligned.

To submit a request for hiring, please complete the [Position Compensation Request](#) Form. The PCR Form is now a Google Form. Please note that all fields on this form must be filled in, use N/A if a field does not apply. To access the form, you must be logged in to your Stony Brook Google account. Please be clear about the funding source and available funds to pay for your request.

A completed PDF version of the filled-out PCR Google form will be sent to your email. Once received, please obtain the necessary signatures and then submit the signed PDF document for by emailing the completed, signed form to provost_preapprovals@stonybrook.edu.

Once submitted, we do our best to review within two weeks.

The following requests are exempt from the formal SET process, but are vetted at the Provost/SVP level:

- OTPS requests up to \$50,000 on state accounts
- OTPS requests budgeted for in CBM
- Positions that are ultimately offset to SBF accounts (new and renewal)
- Recurring or renewal positions on start-up accounts
- Graduate school and ToRG funded GA/TA form I commitments
- Continuing GAs
- PCR requests up to \$5,000.
- ATR approved requests

a. Faculty

i. Hiring

Integrating the hiring process into the budget cycle is critical to managing our resources. By implementing the quarterly reporting process (outlined above), RSR's will be completed as part of our Quarter 3 discussions, and well in advance of your conversation with the prospective faculty member. Draft offer letters will now be known as acknowledgement letters. Acknowledgement letters, along with completed [RSR](#) forms, must be submitted to the Provost's Office for review and written approval **before** they are sent to the prospective faculty member. All draft acknowledgement letters must follow the format approved by the Human Resource Services. See attachments.

ii. Acknowledgement/Offer Letters

Acknowledgment Letter (Informal departmental offer) - Departments must submit to appropriate Dean for review and approval, all "draft" copies of proposed acknowledgment letters with completed RSR forms. Upon approval, draft acknowledgment letters and RSR's must be submitted by Dean to VP Coordinator's (VPC) in the Provost Office to submit for Associate Vice President for Academic Budget and Financial Planning review and written approval before acknowledgment letters are sent to the prospective faculty member. All draft acknowledgement letters must follow the format approved by Human Resource Services. See attachments in Section VIII.

Formal Offer Letter - Once Acknowledgment letter is accepted by the proposed candidate; the chair must notify the Dean's office who will submit candidate's request to hire paperwork for review by AA/EEO Committee and the Office of Institutional Diversity and Equity (OIDE). Upon AA/EEO and OIDE review and approval, the Dean's office must endorse and submit recommendation to hire paperwork for Office of the Provost/President review. Upon approval, a formal offer letter will be sent to the prospective faculty member by the Office of the Provost.

iii. On-Base Increases, Temporary Increases & Course Load Releases

On-base and temporary increases (ex. also receives temp service, administrative stipend, course overload), as well as course- load releases for faculty must be approved by the Dean/Budget area and supporting documentation (ex. PeopleSoft form with VP Coordinator/Budget approvals, chair/administrative appointment letter, justification of increase) mailed to VP Coordinators in the Provost Office to submit for Associate Vice President for Academic Budget and Financial Planning review and approval. Upon approval, VPC's process to Human Resource Services. Units must identify how they will fund the increase.

iv. Partner Accommodations
UNDER DEVELOPMENT

v. Start Up Support
UNDER DEVELOPMENT

vi. Salary Support

Units are expected to fund all new hire salaries (faculty and staff) under their current allocation. If Provostial support is requested and granted (during Q3 budget meetings), the funding will be recurring fiscal for three years, at which time the unit is expected to pick up the salary cost with no increase in base allocation.

vii. Workload

More information on [academic policies](#) can be found on the Office of the Provost website.

viii. Retention Offers & Base Increases
UNDER DEVELOPMENT

b. Staff

i. Hiring

Staff hires submitted for approval must be identified in your unit's Campus Budget Module (completed each Fall). If the position was not identified in the CBM, you will be required to identify the funding source. Postdoctoral associates should either be appointed to a research grant or to a startup account, with an account number identified in TMS.

Each unit's budget officer must sign off on staff requests, along with the director for HR. Requests will be sent for review and approval to the Provostial area.

The Provost Office budget staff should be involved in the search process for unit budget managers.

ii. Offer Letters

Offer Letters are created within TMS and then emailed to the candidate with the appropriate appointment forms to fill out and return to the Department. The Dean's office then forwards all documentation to the Provost office for processing. Once all signatures are obtained, paperwork gets sent to HRS.

iii. Reappointments

Reappointments route from the Department to the appropriate Dean's office (Centers come directly to the Provost Office) and should include a PeopleSoft change form, performance program and performance evaluation. Dean's office then sends to Provost Office for appropriate review and signatures and then they are routed down to HRS.

iv. On-Base Increases

Any on-base increase needs Provost Office approval. You must include how you will fund this increase. All permanent increases are submitted and approved through TMS. PeopleSoft change form is needed with all the Dean's office signatures. Once received at Provost Office, it is signed and sent to HRS. Once HRS received all paperwork and approves, the department is notified to send the increase memo, via TMS, to the employee.

v. Extra Service Requests & Temporary Service Requests

Extra Service should be submitted at minimum of one month prior to dates of service to allow for routing of approval and signatures. All non-teaching professionals need to attach a position description or performance program to their request. Any request, other than teaching a course, will also need to attach HRS questions/answers to all requests. Once all is gathered, departments will send to their Dean's office for signatures, regardless of they are paying for the services or not. Once Dean approves, requested is routed to the Provost office for further approvals and signatures. Once approved by Associate Vice President for Academic Budget and Financial Planning, it is sent down to HRS for final approval.

All requests for Temporary Service should be approved by the Dean/Director of the area and emailed to VP Coordinators in the Provost Office (Janice Barone & Faith Mirabile). Once approved by Associate Vice President for Academic Budget and Financial Planning, it is emailed to Class & Comp (Jeanmarie Ricciardi) for further review. Please see appendices I & J for detailed instructions and information needed for requests. Once approved by HRS, a PeopleSoft form with the Class & Comp approval/review email should be sent to the Provost Office for approvals and then forwarded to HRS for final approval.

c. Earnings Distribution Changes

Units are responsible for submitting Earnings Distribution changes to Human Resource Services per the new procedure as follows:

Send an email to: **HRS State Appointments** (hres_state_appointments@stonybrook.edu)

Cc your VP Coordinator **Janice Barone** (janice.barone@stonybrook.edu)

The subject of the email must be: **EARNINGS DISTRIBUTION CHANGE**

Single and Multiple Employees

For a single employee you can submit the information of the requested change in an email to HRS State Appointments.

When updating multiple earnings distribution changes, please send information on an EXCEL spreadsheet to HRS State Appointments and cc VP Coordinator. The spreadsheet should include the following information for each employee: Effective date, Employee name, Employee ID#, Account(s) and percentage change for each account.

SBU Change Form (Earnings Distribution ONLY)

Effective Date:	
-----------------	--

Employee's Information:

Name	SBU ID #	Account Code 1	%	Account Code 2	%	Account Code 3	%
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Note that the distribution changes may take a couple payroll periods to take effect and any payroll payments made in error may require a PDME transfer. Correction requests through PDMEs may only be requested within the same fiscal year in which the payroll payment occurs. **It is the department's responsibility to request a PDME transfer to correct any retro payments prior to the earnings distribution change taking effect.**

VI. Helpful Links

[Course Fee Request Deadlines](#)

[State Transfer Templates](#)

[Expenditure Accounting](#)

[Fringe Benefit Rate](#)

[Research Policies](#)

[Facilities & Administrative Cost Policy](#)

[IP and Patent Policy](#)

[Organization Change Request Template](#)

[Purchase Request Online form](#)

VII. Journal Transfers

a. Expense Transfers

- Use object code list in the template to match object codes to where expense exists in SUNY BI
- Do NOT cross object codes (unless correcting an erroneous post)
- Any expense being moved should exist
- Use 8-digit account numbers (if no sub use 00)
- Purpose explanation should be no longer than 26 characters (this will show in SUNY BI and can help identify what the transfer was for at a later date)
- All expense transfers must be submitted using the new template provided by Accounting
- Ensure cross VP journal transfers have the authorization of all VP areas involved
- When submitting a cross function transfer, it must include a reasoning for the transfer in the email
- A cross function transfer is a transfer made between different account types. This would be

indicated by the expense transfer form in the red box reading "X FUNCTION"

- If the account is in a deficit, provide justification on how you plan to clear the debt

- b. Allocation Transfers**
 - Use object code list in the template to match object codes to where expense exists in SUNY BI
 - Allocation must exist: allocation can only be moved from where it is posted
 - Use 8-digit account numbers (if no sub use 00)
 - Purpose explanation should be no longer than 23 characters (this will show in SUNY BI and can help identify what the transfer was for at a later date)
 - Cross VP transfers and negative allocations require the approval of the Budget Office
 - Allocation can only be moved within accounts in the same fund (i.e. State to State, IFR to IFR)
 - All allocation transfers must be submitted using the template provided by accounting
 - Maximum of 8 lines per allocation request, use additional sheets in the template if necessary

- c. Payroll Transfers (PDMEs)**
 - Payroll expenses that have already been incurred
 - All PDME transfers must be requested using the template provided by accounting
 - Each PDME can have a maximum of 10 pay periods per transfer
 - Include the Line number of the employee and percent or total amount of the payroll to be moved

- d. Journal Transfer Support Schedule**
 - This schedule is required for:
 - Transfer requests in excess of \$25,000
 - Transactions where a deficit will be created in an IFR account
 - All Equivalent Expense transfer requests regardless of the amount

All templates can be downloaded directly from the Accounting Services [website](#).

VIII. Appendices

A: STRATEGIC GOALS

Enhancing Faculty Success

- Growing the externally-funded research portfolio, including non-federal funding and meaningful engagement with technology transfer, intellectual property development, and enterprise creation
- Building the scholarly, scientific, and artistic standing and visibility of the faculty
- Differentiating key academic strengths that clearly distinguish the University -- focusing on multi- disciplinary and inter-disciplinary opportunities that leverage those strengths
- Utilizing the location of the University as an intrinsic asset to guide faculty recruitment and scholarly and artistic excellence
- Increasing the number of faculty nationally recognized in the American Academy, the National Academies, and related organizations that recognize extraordinary merit
- Insuring the success of the faculty in instructional pursuits, program-building efforts, and mentoring activities
- Facilitating faculty accomplishment and recognition in service to their units, the University, their professional societies and organizations, and wider community partnerships

Enhancing Student Success

- Achieving undergraduate retention and graduation rates comparable to those of the best public universities in the AAU
- Building student learning outcomes consistent with the best accreditation standards and with continuing instructional innovation in all disciplines
- Maintaining instructional programs of the highest quality, offering the most highly regarded public education in the Northeast
- Linking academic advising and career planning in a robust fashion and maintaining their ties to student needs, aspirations, and goals
- Recruiting and supporting outstanding graduate and professional students in rigorous programs that enhance research, scholarship, and art-making across the University
- Exploring the development of rewarding and significant "alternative career paths" for masters and doctoral students
- Sustaining leadership in the development of innovative instructional practices
- Offering a robust array of opportunities for engaged learning and for direct student experience with research, scholarship, or art-making
- Insuring the systematic integration of superior educational activities with best practices in student life and student wellness programming
- Linking student outcomes and experience to the mission and goals of alumni affairs and institutional advancement

Enhancing Diversity and Inclusive Excellence

- Insuring the accessibility and affordability of all instructional programs
- Pursuing the principled recruitment of faculty, students, and staff from under-represented groups
- Cultivating research, learning, and service environments that demonstrate a genuine commitment to inclusivity and academic freedom
- Maintaining the meritocratic commitments of our University to the public it serves

Enhancing Institutional Effectiveness

- Managing resources, consistent with specific budgetary targets, in the most efficient and effective manner
- Securing cost-efficiencies consistent with educational, artistic, scholarly, and scientific excellence
- Cultivating innovation and entrepreneurship, consistent with the University's mission, to increase revenues in support of institutional needs and objectives
- Maintaining and strengthening the practices and traditions of shared governance that are the hallmark of institutional excellence
- Pursuing sustainable and reliable practices with respect to facilities management while minimizing any adverse environmental impacts of our operations
- Modeling best practices across administrative units and being an exemplar for other SUNY campuses and for other higher education institutions
- Developing robust and consistent leadership succession plans across the academic unit

F: ALLOCATION TRANSFER TEMPLATE WITH NOTES

2/27/19

STATE ALLOCATION TRANSFER

****Please submit transfer as attachment in Excel**

ALL CROSS VP AND/OR NEGATIVE ALLOCATION REQUESTS MUST BE SENT DIRECTLY TO THE BUDGET OFFICE
 ALL ALLOCATION REQUESTS MUST INCLUDE AN ALLOCATION TRANSFER TYPE (CLASS) CODE (COLUMN K)
 ALL ALLOCATION REQUESTS MUST INCLUDE AN ALLOCATION TRANSFER DESCRIPTION/PURPOSE
 ALL ALLOCATION REQUESTS MUST BE IN WHOLE DOLLARS (NO CENTS)

Provost Request? YES/NO	YES
----------------------------	-----

Line #	ACCOUNT (8 DIGIT)	ACCOUNT DESCRIPTION	STATE FISCAL YEAR ex. 2018 = 1819	OBJECT CODE	OBJECT DESCRIPTION	AMOUNT INCREASE/ (DECREASE)	TRANSFER TYPE (class) (select from Alloc Xfer Type List)	TRANSFER TYPE (class) DESCRIPTION
1	12345600	Operations	2020	3000	Supplies	(66,600)	9000	Fiscal Year Only Moves
2	12345600	Operations	2020	0000	Personal Service Regular – Non Instructional	66,600	9000	Fiscal Year Only Moves
3								
4								
5								
6								
7								
8								
9								
10								

ALLOCATION TRANSFER DESCRIPTION/PURPOSE: (limit 23 characters in length)

↑ PLEASE INCLUDE DESCRIPTION/PURPOSE OF TRANSFER ↓

Remember to keep descriptions under 26 characters

G. PAYROLL (PDME) EXPENSE TRANSFER

STATE PAYROLL (PDME) EXPENSE TRANSFER

****Please submit transfer as attachment in Excel**

* See "SUNY PR Year Example" tab

** ONLY 1 Pay period can be moved and/or requested at a time.

*** If all distribution codes are to be moved, please type ALL in the Distribution Code and include the total of all to be moved in the Amount.

**** PDME transfers can ONLY BE MADE BY AMOUNT; please indicate the amount to be moved by Distribution Code.

LAST NAME	FIRST NAME	LINE #	*SUNY PAYROLL YR	** PAY PERIOD	***Distribution Code	****AMOUNT to Transfer	TRANSFER FROM ACCT (Old Acct)	TRANSFER TO ACCT (New Acct)	BUDGET YEAR (ex. 18/19)

H: JOURNAL EXPENSE SUPPORT SCHEDULE (CONTACT THE BUDGET COORDINATOR FOR EXCEL COPY)

Journal/Expense Transfer Request Support Schedules

Please provide the data elements on the following Journal/Expense Transfer Request Support Schedule. The schedule is a useful tool in ensuring expense transfers are being processed in accordance with the Campus Budget Module (CBM) or based on the original expense details. We encourage all areas to minimize the need for expense transfers by, where possible, initiating the expense on the applicable account.

Requirements applicable to:

- Transfer requests in excess of \$10,000
- All transactions where a deficit will be created in an IFR account
- All equivalent expense transfer

Detail support required when moving expenses from one account in instances where the original account was incorrectly used. The same object code from the original transaction must be used in the correction entry.

Important items to remember when requesting a Journal/Expense transfer:

- All transfers are submitted on a Journal Transfer Template.
- All transfers must include a Journal/Expense Transfer Request Support Schedule.
- Utilize the object code list located on the Accounting website and on the Journal Transfer Template.
- Do not cross object codes – the same object code must be used for the debit and credit accounts.
- The expense being moved must exist on the account. Detail transaction support is required.
- Charge appropriate expenses to accounts (i.e. Student Fees, Service Centers, Special Appropriations are restricted to certain expenses).
- The Journal Transfer Template and Journal/Expense Transfer Request Back-Up Template is used for appropriated (State, IFR, SUTRA, HIFR, DIFR) expense transfers only.
- Be cognizant of lapsing deadlines when processing expense transfers.
- Equivalent Expense Transfers - We are required to match the budget in CBM to the transfer. Transfers between accounts must be made consistent with how they were budgeted in the Campus Budget Module (CBM) at the object code level.**
 - All **NEGATIVE BUDGETED** amounts must be identified with each transaction; please provide the GL Class from the Campus Budget Module (CBM).
 - All **NEGATIVE BUDGETED** amounts must include the corresponding 'N' value
- We cannot cross object codes at the budget / journal expense level. This requires the transactions to properly match – if the transaction was budgeted in PSR – the expenditure transaction must move PSR, TS to move TS and OTPS to move OTPS

2) Please provide the **accrued** cash balance in the boxes below for all accounts effected that are in a cash or uncommitted cash deficit before and/or after the requested journal transfer is processed. Please include the breakout and back-up of current assets and liabilities included in the accrued cash balance for each account. Attach additional sheets if necessary

*Embedded Excel Sheets below: Double click to enter data.

ACCOUNT NUMBER: 9XXXXXX

ACCOUNT TITLE: _____

1) ENDING CASH BALANCE AS OF TODAY _____

2) ACCOUNTS RECEIVABLE (Net of Uncollectibles) _____
 In House (State, IFR, HIFR, DIFR, SBF) _____
 Research Foundation _____
 Auxiliary Services (FSA) _____
 Others (CPMP, off campus) _____

3) INVENTORIES _____

4) UNRECOVERED EQUIPMENT PURCHASES _____

5) SUBTOTAL (1+2+3+4) _____

6) DUE TO OTHERS (LIABILITIES) (_____) _____

7) ACCRUED CASH BALANCE (5-6) _____

ACCOUNT NUMBER: 9XXXXXX

ACCOUNT TITLE: _____

1) ENDING CASH BALANCE AS OF TODAY _____

2) ACCOUNTS RECEIVABLE (Net of Uncollectibles) _____
 In House (State, IFR, HIFR, DIFR, SBF) _____
 Research Foundation _____
 Auxiliary Services (FSA) _____
 Others (CPMP, off campus) _____

3) INVENTORIES _____

4) UNRECOVERED EQUIPMENT PURCHASES _____

5) SUBTOTAL (1+2+3+4) _____

6) DUE TO OTHERS (LIABILITIES) (_____) _____

7) ACCRUED CASH BALANCE (5-6) _____

Journal/Expense Transfer Request Support

Date _____

Requester: _____

Department: _____

VP Area: _____

Cross VP Transfer: YES NO
 (Indicate with an 'X')

Is this an equivalent expense transfer Yes _____ No _____

If yes – please provide the CBM GL Class from CBM _____ Amount in CBM _____

1) Please provide available balance(s) from SUNY BI in the below excel grid to analyze the relevant accounts and the effect of the Journal Transfer after it has been processed. Encumbrances are included in the available balances. Please NOTE that screenshots of available balances are requested in the section 2 on the following page. *Embedded Excel Sheet below: Double click to enter data; to ungroup columns, click "2" at the top left corner of the spreadsheet; to regroup columns, click "1" at the top left corner of the spreadsheet.

Account	Account Title	Available Balance (include encumbrance)								
		PS	TS	OTPS	TOTAL	PS	TS	OTPS	TOTAL	
		Curr Avail PS Bal	Avail PS Bal after JT	Curr Avail TS Bal	Avail TS Bal after JT	Curr Avail OTPS Bal	JTD/(CR)	Avail OTPS Bal after JT	Curr Avail Bal	Avail Bal after JT
		-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-
		-	-	-	-	-	-	-	-	-

3) For Equivalent Expense Transfers - Please provide the corresponding N value and include the value in the first character of the line description of the Journal Transfer Description. The Following are valid values for the crosswalk from CBM to N value

CBM GLClass	Description	Journal Value	CBM GLClass	Description	Journal Value
PS9020	Cross VP Commitment	N9020	TS9012	TS Fund Exchange Fiscal	N9027
PS9021	Cross VP Commit Instructional	N9021	TS9013	TS Fund Exchange Base	N9027
PS9022	PS Fund Exchange Fiscal	N9027	TS9020	Cross VP Commitments	N9020
PS9023	PS Fund Exchange Base	N9027	TS9021	Cross VP Commitments Instruct	N9021
PS9030	Interchanges	N9902	TS9028	Base Shortfall	N9058
PS9032	Anticipated Pres Comm Base	N9032	TS9029	Fiscal Shortfall	N9059
PS9033	Anticipated Pres Comm Fiscal	N9033	TS9030	Interchanges	N9902
PS9037	Anticpd Pres Comm Instruc	N9032	TS9032	Anticipated Pres Comm Base	N9032
PS9038	Antic Pres Comm Fiscal Instruc	N9033	TS9033	Anticipated Pres Comm Fiscal	N9033
PS9042	Dean Start-Up - Fiscal	N9039	TS9037	Anticp Pres Commit Base Instr	N9032
PS9045	Dean Commitments Fiscal	N9045	TS9038	Anticp Pres Commit Fiscal Inst	N9033
PS9046	Dean Retention - Fiscal	N9039	TS9042	Dean Start-Up - Fiscal	N9039
PS9049	Dean Start-Up - Base	N9039	TS9046	Dean Retention - Fiscal	N9039
PS9053	Dean Retention - Base	N9039	TS9049	Dean Start-Up - Base	N9039
PS9055	Dean Commitments Base	N9050	TS9053	Dean Retention - Base	N9039
PS9057	PS Tuition Revenue - Noninst	N9057	TS9058	Summer Revenue - Noninst	N9060
PS9058	Base Shortfall	N9058	TS9059	Winter Revenue - Noninst	N9070
PS9059	Fiscal Shortfall	N9059	TS9060	Summer Revenue	N9060
PS9060	Summer Revenue Commitment	N9060	TS9070	Winter Revenue	N9070
PS9070	Winter Revenue Commitment	N9060	TS9075	Special Appropriations	N9075
PS9075	Special Appropriation	N9075	TS9077	Salary Recovery Temp	N9077
PS9077	Salary Recovery	N9075	TS9078	Chairs Summer Salary	N9094
PS9081	Special Appropriation Instruct	N9075	TS9081	Special Appropriation Instruct	N9075
PS9082	Salary Recovery Instructional	N9082	TS9082	Salary Recovery Temp Instruct	N9073
PS9083	PSR Leave Base	N9083	TS9092	Fellowships-TS	N9901
PS9084	PS Leave Base Instructional	N9083	TS9350	TS Tuition Revenue	N9350
PS9085	PSR Leave Fiscal	N9085	TS9990	Rollover	N9990
PS9086	Leave Fiscal Instructional	N9085			
PS9087	Budget Reduction - PSR Non-inst	N9087			
PS9091	Fellowships-PS	N9901			
PS9092	GFT Rounding	N9018			
PS9340	PS Tuition Revenue	N9340			
PS9990	Rollover	N9990			
OS9020	Cross VP Commitments	N9020			
OS9026	Fund Exchange Base	N9027			
OS9027	Fund Exchange Fiscal	N9027			
OS9030	Interchanges	N9902			
OS9032	Anticipated Pres Commit Base	N9032			
OS9033	Antic Pres Commitment Fiscal	N9033			
OS9042	Dean Start-Up - Fiscal	N9039			
OS9046	Dean Retention - Fiscal	N9039			
OS9049	Dean Start-Up - Base	N9039			
OS9053	Dean Retention - Base	N9039			
OS9068	Base Shortfall	N9058			
OS9069	Fiscal Shortfall	N9059			
OS9073	Salary Recovery	N9077			
OS9079	Member Item Funding	N9079			
OS9093	Fellowships-OTPS	N9901			
OS9360	OTPS Tuition Revenue	N9360			
OS9990	Rollover	N9990			

J: TENURE TRACK ACKNOWLEDGEMENT LETTER

TENURE TRACK Acknowledgement Letter
Assistant Professor/Associate Professor/Professor

Date

Name
Address

Dear _____:

I am very pleased to inform you that I am recommending that you be appointed to a full time faculty position in the Department of [_____] at Stony Brook University. Appointments to such positions are subject to the Policies of the State University of New York (SUNY) Board of Trustees and will require the approval of the Provost, the President and the Office of Institutional Diversity and Equity. Appointments are also contingent upon the outcome of the pre-employment background check and dependent upon maintaining the appropriate immigration status throughout your employment. There is no offer until these approvals and clearances are obtained. If approved, you will receive an offer from the Provost and Senior Vice President for Academic Affairs.

I will recommend the following terms and conditions of your appointment:

If approved, your appointment is anticipated to commence [September 1, 20xx (Fall), January 1, 20xx (Spring)]. Classes will begin on [date], but please be advised there may be Departmental faculty obligations that occur during the week before classes begin at which your attendance may be required. An academic obligation includes teaching, research, University service and other duties and responsibilities as identified by the Chair of your department.

Title: Assistant Professor 10 / Assistant Professor 12 / Associate Professor 10 / Associate Professor 12 / Professor 10 / Professor 12

Rank: Academic Rank (Tenure Track)

Type of Appointment: Term

Duration of Appointment: This [one year / two year / or three year] term proposed appointment would be effective [date] and continue until [date].

Salary: Academic Year Salary (10 month) of \$00,000 / Annual Year Salary (12 month) of \$00,000

Location Stipend: In addition to the basic annual salary, full-time employees will receive a location stipend. Currently the location stipend is \$3,026 per year.

(Optional Paragraph)

You may be eligible to receive up to three months of summer salary for [_____].

Benefits: As an employee of the State University of New York, you would be eligible to enroll in a benefits plan which includes health, dental, and vision insurance, and to participate in a retirement plan. A full explanation of State benefits is available at the following website: www.stonybrook.edu/hr/benefits/state.

TENURE TRACK Acknowledgement Letter
Assistant Professor/Associate Professor/Professor

(Optional Paragraph)

State employees may be reimbursed for the actual moving costs of household goods, personal effects and transportation costs. No reimbursement shall be provided for household goods and personal effects in excess of 12,000 pounds. For additional detailed information regarding relocation expenses please visit: www.stonybrook.edu/procurement/employees/hr

(Optional Paragraph)

We understand the importance of your research efforts. To provide a seamless transition we propose a startup package of \$xx,xxx, to be expended within [specified time period] of your arrival. The permissible usages are detailed below:

- 1.
- 2.
- 3.

(Optional Paragraph)

The Department would provide you with appropriately furnished office space with internet access and phone. You would be provided with laboratory space proportional to your research program and subject to space limitations in our building. Office space would be provided for your students and postdocs, as needed. Such space at Stony Brook would be allocated by the Chair and will be returned to the department if the space is not used for an active research program.

We are hopeful these terms will be approved soon and that an offer letter will be issued shortly.

Sincerely,

_____, Chair

_____, Dean

Department of _____

College of _____

K: ACKNOWLEDGEMENT LETTER

Acknowledgement Letter
Associate Professor/Professor

Date

Name
Address

Dear _____:

I am very pleased to inform you that I am recommending that you be appointed to a full time faculty position in the Department of [_____] at Stony Brook University. Appointments to such positions are subject to the Policies of the State University of New York (SUNY) Board of Trustees and will require the approval of the Provost, the President, and the Office of Institutional Diversity and Equity. Appointments are also contingent upon the outcome of the pre-employment background check and dependent upon maintaining the appropriate immigration status throughout your employment. There is no offer until these approvals and clearances are obtained. If approved, you will receive an offer from the Provost and Senior Vice President for Academic Affairs.

I will recommend the following terms and conditions of your appointment:

If approved, your appointment is anticipated to commence [September 1, 20xx (Fall), January 1, 20xx (Spring)]. Classes will begin on [date], but please be advised there may be Departmental faculty obligations that occur during the week before classes begin at which your attendance may be required. An academic obligation includes teaching, research, University service and other duties and responsibilities as identified by the Chair of your department.

Title: ~~Associate Professor 10~~ Associate Professor 12 / ~~Professor 10~~ Professor 12

Rank: Academic Rank (Tenure Track)

Salary: Academic Year Salary (10 month) of \$00,000 / Annual Year Salary (12 month) of \$00,000

Tenure: With your acceptance of these conditions, and receipt of approvals, we propose to initiate an expedited tenure review. Appointment to such positions require the approval of the Dean of the College of [_____], the Provost, President, and the Chancellor of the State University of New York, and is subject to the Policies of the Board of Trustees which can be viewed at suny.edu/Board_of_Trustees/PDF/Policies.pdf.

In the event that this expedited review is not completed by the employment date, your proposed initial appointment as [Associate Professor/Professor] would be a 'term appointment' from [date] through [date not to exceed 2 years]. Upon successful completion of the tenure review process and final approval by the necessary parties, your appointment would become a tenured appointment in the Department of [_____].

Location Stipend: In addition to the basic annual salary, full-time employees will receive a location stipend. Currently the location stipend is \$3,026 per year.

(Optional Paragraph)

You may be eligible to receive up to three months of summer salary for [_____].

Acknowledgement Letter
Associate Professor/Professor

Benefits: As an employee of the State University of New York, you would be eligible to enroll in benefits such as health, dental, and vision insurance, and to participate in a retirement plan. A full explanation of State benefits is available at the following website: www.stonybrook.edu/hr/benefits/state.

(Optional Paragraph)

State employees may be reimbursed for the actual moving costs of household goods, personal effects and transportation costs. No reimbursement shall be provided for household goods and personal effects in excess of 12,000 pounds. For additional detailed information regarding relocation expenses please visit: www.stonybrook.edu/procurement/employees/r

(Optional Paragraph)

We understand the importance of your research efforts. To help provide a seamless transition we propose a startup package of \$xx,xxx, to be expended within [specified time period] of your arrival. The permissible usages are detailed below:

- 1.
- 2.
- 3.]

(Optional Paragraph)

The Department will provide you with appropriately furnished office space with internet access and phone. You will be provided with laboratory space proportional to your research program and subject to space limitations in our building. Office space will be provided for your students and postdocs, as needed. Such space at Stony Brook will be allocated by the Chair and will be returned to the department if the space is not used for an active research program.

We are hopeful these terms will be approved soon and that an offer letter will be issued shortly.

Sincerely,

_____, Chair

Department of _____

_____, Dean

College of _____

L: EXTRA SERVICE REQUESTS QUESTIONS

EXTRA SERVICE
C&C ANALYSIS QUESTIONS**

**This does not include Extra Service requests for teaching credit-bearing courses.

- 1) Do you happen to know if these duties happened already? It seems that this was submitted for review after the duties were scheduled to begin and/or after the duties were completed.
- 2) Can you explain to me how the amount being requested was decided?
 - a) What factor was used in determining the amount to pay for the duties being requested?
 - b) How much are you looking to pay hourly?
- 3) Can you please elaborate on the duties?
- 4) Can you please explain how you feel these Extra Service duties differ from his/her current responsibilities?
- 5) What are the incumbent's normal business hours?
 - a) When will these duties be performed in relation to the normal business hours?
 - b) What days/what exact times?
- 6) Would you be able to also tell me how/why this individual was chosen to perform these duties?
- 7) Who did these duties before?
- 8) Is this a position currently being recruited for?
- 9) What qualifications and/or level of degree[s]/certifications are required to perform these duties?

L: EXTRA SERVICE REQUESTS GUIDELINES

Extra Service/Dual Employment State Policy and Procedures

General Policies:

- Approval for Extra Service/Dual Employment *must* be obtained *prior* to the commencement of the service.
- Compensation for Extra Service may not exceed an amount equal to 20% of base annual salary in a SUNY fiscal year.
- Extra Service compensation must not be used in lieu of overtime for employees deemed eligible (non-exempt) under the Fair Labor Standards Act. **Note:** Overtime is a continuation of an employee's normal job responsibilities.
- Extra Service work must be performed in a different department or a different unit within the primary employing department and be different and in addition to the employee's professional obligation.

Definitions:

Extra Service: Additional service performed that exceeds full-time (100%) employment. The additional service performed must clearly be different than, and not interfere with the employee's regular obligation.

Dual Employment: For a part-time employee performing additional part-time service. The total of all the service performed cannot exceed full-time (100%) employment.

General Procedures:

1. Request for Approval of Extra Service or Dual Employment

- There are three different request forms for approval of Extra Service ([see attached grid for guidelines](#))
 - **UP-8:** Request for Extra Service Approval form used for UUP.
 - **UP-6:** Request for Extra Service Approval form used for SUNY M/C 13 employees.
 - **AC-1588:** Request for Extra Service/Dual Employment Approval form used by most State agencies outside of the State University, SUNY employees in classified service in bargaining units 1-6 and 31, and UUP employees for *dual* employment.
- The Request forms must be completed by the employee performing the service *with the appropriate authorized signatures of both the Primary and Extra Service departments*, and submitted to Human Resource Services.
- Non-academic employees, attach a current Position Description (PD) or Performance Program (PP), that describes the employee's normal obligation, to the Request form.
- Contact State Appointments at (631) [632-6184](#) for appointment related questions.

2. Extra Service Payroll Voucher (AC-873)

- The Extra Service Payroll Voucher serves as a time sheet to report actual dates and times worked. The voucher must be completed and signed by the employee performing the service, *signed by the Extra Service department*, and submitted to State Payroll for payment.
- Contact State Payroll at (631) [632-6091](#) for payment related questions.

Human resources link: https://www.stonybrook.edu/hr/misc/es/extra_service_state.shtml#

L: EXTRA SERVICE REQUESTS GUIDELINES

Temporary Increase Request

Definition: When an employee has **temporarily** assumed significant additional responsibilities not resulting from an increase in volume and not outside the scope of what we would expect from his/her position, a temporary salary increase may be granted. The temporary duties must be of a classification equal to or greater than the employees' current classification.

Department Instructions: Email your memo of justification to your VPC for their support being sure to include the following points:

1. Name of incumbent to receive the temporary increase.
2. Incumbent who did these duties previously.
3. How much you are temporarily requesting Annualized@1.0FTE?
4. Beginning and End dates of the temporary increase. *Note: Generally should not exceed 6 months. If an extension beyond six months is needed, an extension request to your VPC can be made at that time.*
5. List the temporary duties being taken on
6. When will these temporary duties be performed? [i.e. during the work day or after the work day] *See Note "C" below
7. Most recent Organizational Chart
8. % of time that will be dedicated to these temporary duties in relation to the current, primary duties
9. Why incumbent was selected to perform these duties.

VPC Instructions: Forward to C&C for approval, confirming VP is in support and agrees with the request/extension request.

Processing: Once C&C completes the review, we will notify the VPC of the approval/denial status. If it is approved, please be prepared to submit both the on and off forms simultaneously along with a copy of C&C's approval email to the appropriate department.

Please note – As a guideline,

- A. If the temporary duties being requested result in an increase in work volume, but not in an increase in the complexity of fulfilling the responsibilities of the position, no salary increase will be granted.
- B. To avoid creating salary inequities with others, consideration is given to the salaries of others in similar positions and the complexity of the additional duties.
- C. If the work is being done outside of the workday, please contact your VPC prior to submitting to ensure the request is processed correctly (i.e. O/T, Extra Service, Temporary Increase).

M: PURCHASE REQUEST ONLINE FORM

The System Administration Budget Team has upgraded the University-wide program Purchase Request form to now being online. Please use this link to submit all future Purchase Requests to System Administration Budget Team. After this week we will no longer be accepting the Purchase Request forms emailed to Budget Submissions.

Please be aware the University-wide programs are still under review and that may cause delays in receiving an answer on submitted Purchase Requests. Once the review is complete the Team will be able to get back to you with approval/rejection of your Purchase Request.

Purchase Request Form

Name of Person Requesting Purchase *

First

Last

Email

Campus

Department

Is this request for a new contract or contract extension? *

Yes

No

Continue

N: GLOSSARY (TERMS/ACRONYMS)

AAU – Association of American Universities. Founded in 1900, the Association of American Universities comprises 62 distinguished institutions in the United States and Canada that continually advance society through education, research, and discovery.

Accruals – Revenues or expenditures that have been recognized for that fiscal year but not received or disbursed until a subsequent fiscal year.

ACE – Accelerated College Education (ACE) Program provides students with the academic challenges of a college-level curriculum within the high school setting. Enrollment in ACE courses may provide future opportunities to students, such as the ability to enroll in higher-level college courses or to complete a four-year degree in a shorter amount of time.

AES – Accounts Expenditure Summary. These monthly expense and cash collection reports are available in the ERAS (Electronic Record of Authorized Signatures) system. Instructions on viewing reports online are available at <https://www.stonybrook.edu/commcms/eras/aes-reports.php>

All Funds Budget: The total program budget including the core operating budget, sponsored program activity, self-supported programs, auxiliary service corporations, foundations, and any other spending related to the campus such as temporary sources of support.

Allocation – The distribution of appropriated funds to campuses and departments for expenditure control.

Appropriation – The amount of spending legally authorized by the General Assembly. The authority to spend revenue (State General Fund or campus generated revenue) up to the amount indicated and for the purpose stated.

CBM – Campus Budget Module. The Campus Budget Module, or CBM, is a custom budget module developed within PeopleSoft HCM (Human Capital Management) that allows users for West and East campuses to prepare and input budget information.

<http://www.stonybrook.edu/budgetoffice/campmod/campmod.htm>

CS – Campus Solutions. Oracle software suite used for student and higher education administration including admissions, scheduling, financial aid, student financials and records & registration.

www.stonybrook.edu/csprod

CSI – Contractual Salary Increases

DIFR – Dormitory Income Fund Reimbursable. This is a group of accounts that are self-supporting and used to administer room rental fees and charges.

Encumbrance – The commitment of all or part of an appropriation. Encumbrances represent valid obligations related to unfilled purchase orders or unfulfilled contracts. Outstanding encumbrances are recognized as budgetary expenditures in the individual department's budget documents and their individual annual financial reports.

ERAS or E-RAS – Electronic Record of Authorized Signatures. This online system is used to identify individuals with authorization to encumber or commit account funds. Monthly expense and cash collection reports are available in this system. Instructions and links to forms are available via the ERAS FAQ at: <https://www.stonybrook.edu/commcms/eras/faqs.php>

F&A – Facilities and Administration costs. These are the real costs related to sponsored projects that include maintenance, security, heating, cooling, lighting, space, disposal of hazardous waste, secretarial support, and cost of compliance with government regulations.

FY – Fiscal Year. The calendar on which the state operates for financial purposes. The University's fiscal year begins on July 1 and ends on June 30.

Form I – The formal budget submission by each campus. The master commitment file is used to build the Form I. This is the form that is used to develop the funding allocation target in CBM

Form II – Following CBM, this is the form that is used to request additional funding commitments

FTE – is a unit that indicates the workload of an employee or student in a way that makes workloads or class loads comparable. An FTE of 1.0 is equivalent to a full-time worker or student, while an FTE of 0.5 signals half of a full work or school load

GHI/ICTE – Global Health Institute/ Institute for the Conservation of Tropical Environments

GL Classification – General Ledger. A general ledger is the master set of accounts that summarize all transactions occurring within an entity. The GL Classification and Codes help to organize and identify accounts and transactions.

HCM – Human Capital Management. Oracle software suite used by the University for human resource administration including the campus budget module and IFR Accruals. www.stonybrook.edu/hcmprod

HIFR – Hospitable Fund Reimbursable. Operating accounts used to support the costs associated with the University Hospital. This allocation is supported through patient care revenue.

HSC – Health Science Center.

IACS – Institute for Advanced Computational Science

IDC – Indirect Cost (also known as Facilities and Administration costs/F&A). See Research Foundation for information on IDC.

Lapsed Funds: Uncommitted funds that remain in an appropriation account at the close of a fiscal year. They are returned to the fund from which they were originally appropriated or allocated.

Lapsing Funds – A department or organization with a lapsing budget must return any unspent budget funds to the authority that issued them at the end of the budget period.

Object Class: A grouping of similar expenditure items that form the basis of appropriations and records of expenditure. Examples include “travel”, “contractual services”, and “supplies and materials”.

Office of the State Comptroller (OSC): The State Comptroller is New York State's chief fiscal officer. The Comptroller is charged with auditing government operations and operating the Statewide Retirement Systems. OSC monitors, reports on, and coaches’ other public entities, and works to ensure that governments at all levels are discharging their responsibilities in an efficient, effective, and timely manner.

OTPS – Other Than Personal Services. This budgetary category refers to active resources that are allocated for non-salary expenditures. This would include supplies, travel, contractual service, library acquisitions, and equipment.

PDME – This is a form used to request State Payroll Expense Transfers. The form is available online <https://www.stonybrook.edu/commcms/accounting/accounting-services/expenditure-accounting>

PSR – Personnel Salary Regular. This budgetary category refers to resources that are allocated for appointments with a continuing duration.

PST – Personnel Salary Temporary. This budgetary category refers to resources that are allocated for appointments with a short-term duration.

RF – Research Foundation. The Research Foundation for The State University of New York (RF) is the largest comprehensive university-connected research foundation in the country. The RF is a private non-profit education corporation that is tax-exempt under Internal Revenue Code (IRC) Section 501(c) (3). Research Foundation accounts record research, instruction and training activities conducted under the direction of University faculty and staff and funded by organizations both external and internal to the University. They are made up of both Sponsored and Non-Sponsored funding.

RSR – Research Support Request. A form used to request support from the Vice President for Research for Cost Sharing or other research related projects. Information available at <https://www.stonybrook.edu/commcms/proposal-development/resources/RSR>

SBF – Stony Brook Foundation. The Stony Brook Foundation is a private 501(c) (3) nonprofit organization. It exists to advance the goals and strategic plan of Stony Brook University by raising and managing private funds on the University's behalf.

SBU Reporting – Stony Brook University Reporting. This is a local university financial reporting tool that provides financial data and reports in an all-funds manner. For SBU Reporting for Finance, access should be requested by your VP Coordinator. <https://it.stonybrook.edu/services/sbu-reporting>

SPD – School of Professional Development.

SUNY BI – SUNY Business Intelligence (BI). This is the financial application system managed by SUNY Central that has replaced the SUNY SMRT system and some functionality of SUNY Legacy. This application provides financial reports and information for State/IFR accounts. www.suny.edu/analytics

SUTRA – State University Tuition Reimbursable Account. These accounts were established to provide the State University the ability to retain a limited amount of tuition revenue generated in excess of targeted levels and create entrepreneurial incentives for campuses to expand enrollment and programs. State University Tuition Reimbursable Accounts utilize income from self-supporting programs funded from tuition revenue related to overseas programs, contract courses, summer session & enrollment overflow. SUTRA accounts operate similar to Income Fund Reimbursable accounts.

TMS – Talent Management System. The Talent Management System is used for hiring and performance management at Stony Brook University, Stony Brook Medicine, and Long Island State Veterans Home. One system for the entire recruiting and onboarding lifecycle, with approvals processed electronically. <https://it.stonybrook.edu/services/taleo>

ToRG – Tuition on Research Grant Policy. All proposals for sponsored research, teaching/training, or public service projects that include salary support for graduate students must also include a request for graduate student tuition remission. Tuition at the current NYS rate for six (6) credits per semester (Fall and Spring only), per graduate student, is to be included in the proposal budget as a direct cost line item. Tuition remission costs are excluded from fringe benefits or indirect cost assessment.

TS – Temporary Service. This budgetary category refers to resources that are allocated for appointments with a short-term duration.

YITP – Yang Institute for Theoretical Physics. <http://insti.physics.sunysb.edu/itp/www/>