



Stony Brook University

Office of the Provost

Budget Manual

for

Fiscal Year 24/25

Version Control
November 7, 2024

Table of Contents

- I. The Office of the Provost Budget Team 4
 - Budget Generalists 4
 - Budget Specialist 5
 - Senior Staff Assistant for Budget..... 5
 - Senior Budget and Financial Planning Analyst 5
 - Vacant 5
 - Interim Senior Director of Financial Planning and Analysis for Academic Affairs 6
 - Interim Associate Vice President for Academic Budget and Financial Planning 6
- II. Fund Sources 6
 - a. State Operating..... 6
 - b. Income Fund Reimbursable (IFR)..... 7
 - c. Research Foundation (RF)8
 - d. Stony Brook Foundation (SBF)..... 9
- III. Overview of the FY 24/25 Planning Process.....9
 - a. Goals for the Budget Planning Process..... 10
 - b. The Budget Planning Process.....10
 - c. The Provost Office DRAFT Fiscal Year 2024-25 Budget Calendar 11
 - d. Unit Budget Meetings with the Provost..... 12
 - e. State/IDC (RF) Budget Targets 13
 - f. Form I and Form II Commitments..... 13
 - g. Contractual Salary Increases..... 14
 - h. Budgeting Negatives..... 14
 - i. Enrollment Planning.... UNDER DEVELOPMENT..... 14
 - j. Space and Capital Needs...UNDER DEVELOPMENT..... 14
 - k. Research and Productivity... UNDER DEVELOPMENT..... 14
- IV. Managing Your Budget 14
 - a. Budget Call Letter (February 9, 2023)..... 14
 - b. Vacancy Guidelines 15
 - c. Reporting 16
 - d. Systems..... 17
 - e. Lapsing Funds 21
 - f. Rollovers & Deficits..... 22
 - g. Revenue Sharing..... 22
 - h. Equivalent Expense Transfers..... 25
 - i. Fees..... 25

V.	Personnel	25
a.	Faculty.....	27
b.	Staff.....	28
c.	Earnings Distribution Changes	29
VI.	Helpful Links	30
VII.	Journal Transfers.....	30
VIII.	Appendices.....	31
A:	STRATEGIC GOALS.....	31
B:	AUTHORIZATION TO RECRUIT (FY 23/24 TEMPLATE).....	33
C:	EXPENSE TRANSFER TEMPLATE WITH NOTES.....	34
D:	JOURNAL EXPENSE SUPPORT SCHEDULE	35
E.	ALLOCATION TRANSFER TEMPLATE WITH NOTES	36
F.	PAYROLL (PDME) EXPENSE TRANSFER	37
G:	STATE ACCOUNT ORG CHANGE REQUEST TEMPLATE	38
H:	TENURE TRACK ACKNOWLEDGEMENT LETTER	39
I:	ACKNOWLEDGEMENT LETTER.....	40
J:	EXTRA SERVICE REQUESTS QUESTIONS	41
K:	EXTRA SERVICE REQUESTS GUIDELINES.....	42
L:	TEMPORARY INCREASE REQUESTS GUIDELINES.....	43
M:	GLOSSARY (TERMS/ACRONYMS).....	44

I. **The Office of the Provost Budget Team**

The Provost Budget Team is available to assist academic units, administrative units, centers, and institutes that report to VP03. This section contains contact information based on the type of inquiry or task and introduces the team members.

Inquiry/Task	Shared Inbox
Journal Transfer Requests-- Expense, Allocation (including Form II transfers), PDME, Revenue, and all relevant support schedules	provost_journaltransfers@stonybrook.edu
Position Compensation Request (PCR) forms and OTPS Exemption requests	provost_preapprovals@stonybrook.edu
General inquiries and all other non-journal transfer and non-PCR requests	<p>If you are an Academic or Administrative unit, please send all inquiries to: Provost_Acad_Admin_Units@stonybrook.edu</p> <p>If you are a Center or Institute, please send all inquiries to: Provost_Centers_Institutes@stonybrook.edu</p>

Budget Generalists

The Budget Generalists act as the liaison between the Provost Budget Team and Academic and Administrative Units. Despite the split portfolio, please contact the Budget Generalists using the shared email account provided below: Provost_Acad_Admin_Units@stonybrook.edu

Robert Congiusta Robert.Congiusta@stonybrook.edu	Kushal Patel Kushal.Patel@stonybrook.edu
Portfolio: CAS, CEAS, COB, SOCJ, SOMAS, SPD, Lichtenstein, SUNY Korea	Portfolio: DUE, Enrollment Management, Grad School, IAP, Library
General budget inquiries from Academic & Administrative Units Journal transfers (allocation, expense, PDME, revenue) via the Journal Transfers inbox Questions regarding account discrepancies Report inquiries Deficit Reduction Plans (DRP) IFR Accruals Mid-year condition & multi-year reporting Request Form II disbursements Rate reviews	

Budget Specialist

The Budget Specialist is the liaison to Centers & Institutes for the Provost Budget Team. Please contact the Budget Specialist using the following shared email account: Provost_Centers_Institutes@stonybrook.edu

Kristin Perrichon Kristin.Perrichon@stonybrook.edu
Portfolio: AI Institute, CELT, Center for Biotechnology, Center for Communicating Science (ALDA), Climate & Sustainability Programming (CASP), Collaborative for the Earth (C4E), CIDER, IACS, ICB&DD, ICTE, IMS, Institute of Energy: Sustainability, Environment, and Energy (I:SEE), I-STEM, JPSI, Laufer, Life Sciences Complex, OEE, SCAN Center, Sea Grant, SIMONS, Simons STEM Scholars, Staller, TBI, YITP
General budget inquiries from Centers & Institutes Journal transfers (allocation, expense, PDME, revenue) via the Journal Transfers inbox Questions regarding account discrepancies Report inquiries Deficit Reduction Plans (DRP) IFR Accruals Mid-year condition & multi-year reporting Request Form II disbursements Rate reviews

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
- Journal transfers (allocation, PDME) via the Journal Transfers inbox

Senior Budget and Financial Planning Analyst

Vacant

- 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 provost accounts
- Registering new financial commitments

Interim Senior Director of Financial Planning and Analysis for Academic Affairs

Dana Jecewiz

Dana.Jecewiz@stonybrook.edu

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

Interim Associate Vice President for Academic Budget and Financial Planning

Maria Ficken

Maria.Ficken@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 the 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; they only allocate funds** through the budget planning process (as planned in the campus budget module). The University Budget Office manages state accounts.

State operating accounts are funded from state tax dollars and campus revenues from tuition and 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 its costs to the appropriate sources, particularly 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 that 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 account takes **two weeks** to post into the SUNY BI system. The University Accounting Office manages IFR accounts.

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 project 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.

1 Fringe benefit rates vary. Current rates are available here

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

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 allow the State University to retain a limited amount of tuition revenue generated more than 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,
- 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 like 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 account records 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 accounts.

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.

- [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 the 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.

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

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 the cost of complying 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 on 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 the 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 spring/summer, and the unit will be receiving the actual payout by mid-August. SBF will continue to use a five-year moving average of the endowment market value ending December 31. In addition, the endowment payout rate for FY 23/24 has been approved at 4.5% with a 1% administration fee.

III. Overview of the FY 24/25 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 23/24 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 Stony Brook University's mission and budgeting process provides transparency, build trust, and position 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. <ul style="list-style-type: none">- 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. <ul style="list-style-type: none"> - 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.

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 and their budget to actuals 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 the 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**, please check out their website; found [here](#). As a unit that reports to the Provostial Area, you should abide by the **Provost Budget Calendar** on the following page.

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 challenge

Fiscal Year 2024-25 VP03 Budget Calendar

MONTH	DATE	TASK
June	6/24/2024	SBF will distribute endowment payouts for FY 24/25
July	7/01/2024	The first day of the new fiscal year before the fiscal year lapsing begins
	7/01/2024	The prior fiscal year lapsing period begins
	7/23/2024	IFR accruals due in CBM for June 30, 2024 (Accounting Period 12)
August	8/15/2024	Provost Budget Forum – Authorized Hires Presentation
	<i>Second week</i>	SUNY Empire Innovation Program budgets due for units with EIP awards
September	9/24/2024	Recruitment Status Update file sent to units (1)
	9/30/2024	Recruitment Status Update file due back from units (1)
	9/30/2024	The prior fiscal year lapsing period ends
October	<i>Second week</i>	CBM transfer panel data distributed to units
	<i>Third week</i>	Commitment files shared with units for review
	<i>Last week</i>	FY 23/24 final condition sent out to units
November	11/6/2024	CBM transfer panel data due back from units
	11/6/2024	FY 23/24 final condition due back from units
	<i>Third week</i>	SUNY Empire Innovation Program annual reports due for units with EIP awards
	11/22/2024	Commitment files are due back from units
December	<i>First week</i>	Mid-year condition templates distributed to units
	12/05/2024	Recruitment Status Update file sent to units (2)
	12/11/2024	Recruitment Status Update file due back from units (2)
	<i>Third week</i>	Authorization to Recruit (ATR) templates distributed to units
January	1/08/2025	MANDATORY CBM and Multi-year report training for ALL VP03 units
	1/13/2025	Run Operating Statement as of December 31st for mid-year Condition Reporting and distribute multi-year reporting templates
	<i>Second week</i>	Summer revenue distribution
	1/20/2025	Next fiscal year budgeting cycle opens (CBM), and Preliminary State / IDC targets are distributed to units
	<i>Last week</i>	CBM input meetings w. Centers and Institutes and the Budget team
	<i>Last week</i>	FY 24/25 IFR accruals for December (Accounting Period 6) are due in CBM
	1/29/2025	All Academic Units, Centers and Institutes' mid-year condition, and multi-year reports submissions due to the budget team
February	<i>First two weeks</i>	Mid-year condition and multi-year reporting meetings begin with the Units and the Budget team. (Mid-February)
March	<i>First week</i>	CBM input meetings with Academic units and the Budget team begin
	3/14/2025	CBM closes for all VP03 units
	<i>Second week</i>	Authorization to Recruit templates is due to the Provost's Office
	<i>Third week</i>	MANDATORY Annual Strategic Hiring Process meetings for all units to be scheduled with the Provost and Senior Leadership Team
April	4/30/2025	Form II request deadline
May	<i>First week</i>	Winter revenue distribution to units
	<i>Second week</i>	Declared rollover deadline
June	6/30/2025	Last day of the fiscal year

c. 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:

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). The most up-to-date information can be found [here](#).

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 on 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 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-minute presentation followed by 15 minutes of discussion. Deans can be accompanied by one budget person.

Authorization to Recruit (ATR) Form: Please see the attached Excel file and fill out 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 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 **TBD, as we are awaiting confirmation of deadline dates**. 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 the end of summer 2025, 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 the current year-ending position, and a 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 acknowledgment 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 acknowledgment 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 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 acknowledgment letters (with RSRs), staff hiring requests, and on-base increase requests should be sent electronically to the Provost's Office.

d. 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. As of 2017, units will no longer post their own "negatives" or "planned revenue" in CBM. More information will be provided at the training sessions. **Units must tie to target and will be expected to manage within the constraints of their fiscal year budget**. Monthly reporting and regular meetings will ensure units are meeting expectations.

Each unit is expected to do its budget planning in the CBM. Academic and Administrative units will do their data entry, and a CBM review meeting will be set up with representatives from the Office of the Provost to review. Centers and Institutes will receive data entry support. You will be contacted early in the process to complete the planning process.

e. Form I and Form II Commitments

When the Provost's Office sends your target, you will also be provided with 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.

f. 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 combined. Units should plan for this.

g. 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 be prepared to discuss all negatives with appropriate justification. Once the anticipated negatives are verified, they can be entered into the transfer panel in CBM. Please reach out to the Budget Generalists for guidance on using the transfer panels.

h. Enrollment Planning.... UNDER DEVELOPMENT

i. Space and Capital Needs...UNDER DEVELOPMENT

j. Research and Productivity... UNDER DEVELOPMENT

Managing Your Budget

a. Budget Call Letter (TBD, 2025)

Assumptions:

- State Operating Aid: We assume the State Operating Aid will remain flat for 24/25.
- 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 24/25 as a result of the new tuition revenue sharing program.
Tuition Revenue Sharing: 23/24 earnings will be distributed in 24/25 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 expenditure 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 Spring 2023: University Centers and Health Science Centers’ minimum adjunct wage is \$5,500 per three-credit course.

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 input into the budget system.
- OTPS users 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. The SBU report linked [here](#) 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 (A PCR is no longer required for fall/spring adjuncts; an excel template is required though for formal approval) - 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 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 contact Darschay Harris. University [budget policies](#) should also be reviewed and understood by all budget managers, in 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 Edward Collins (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 is utilized for student and higher education administration, encompassing admissions, scheduling, financial aid, student financials, records, and 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

A list of data custodians for Campus Solutions for each particular area can be found via the link below:

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

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>

A list of data custodians for PeopleSoft HCM can be found via the link below:

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

The following link is a PeopleSoft Training guide provided by the Department of Information Technology which provides a guide to getting started 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 on 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, and 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-annually (Fall and Spring). Information on when sessions are available and how- to sign-up is provided one month prior in the Campus Announcements newsletter.

SBU Reporting is offered for additional areas of the university including admissions and student records & enrollment. A list of the data custodians for each respective area of SBU Reporting can be found on the link below:

Data Custodians: <https://it.stonybrook.edu/help/kb/requesting-access-to-sbu-reporting>

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?bieehome>

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.

https://www.stonybrook.edu/commcms/bfpa/university_budget/sbu_staff/budget_maintenance.php

**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 a user has any issues with their accounts, they can reach out to their 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/asafoms/ACTD0001/\\$FILE/ACTD0001.pdf](https://www.asa.stonybrook.edu/asa/asafoms/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 in 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 are links to the SBU WolfMart 360 page as well as the training page.

SBU WolfMart 360 Page:

www.stonybrook.edu/wolfmart/

Training Page:

<https://www.stonybrook.edu/commcms/procurement/wolfmart/wolfmart-training.php>

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.

Tableau server:

<https://tableau.stonybrook.edu>

Avid Xchange

AvidXchange is a web-based platform that will allow you to electronically route vendor invoices and monthly bills as well as student reimbursements and awards for approval and submission to SBF for payment processing.

Avid Xchange Resource page:

<https://www.stonybrook.edu/commcms/foundation/resources/avidxchange.php>

Below is helpful information regarding the Avid Xchange queues:

Avid Xchange Queues:

NOTE: The number in the upper-right corner is a count of your existing Invoices.



New:

- Transactions that have been started but not submitted
- Any rejected transactions that need your attention- will receive email with the subject "URGENT: Invoice XXXXX has been Rejected"

Submitted:

- Transactions that have been submitted by you
- Transactions that have been submitted to you for approval

Approved:

- Your transactions which have been fully approved

History:

- Status
 - *Posted* means the transaction has been posted to PeopleSoft and can be viewed in SBU Reporting the following day
 - *Void* – means the transaction has been canceled
- Voucher Number – a check is scheduled to be paid in PeopleSoft – Per SBF, check runs are scheduled for Mondays

e. Lapsing Funds

Units should be mindful of cut-off dates during the lapsing period. The lapsing period runs from July through August. Deadlines vary by fund type and 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 promptly.

The lapsing calendar can be found here: [Lapsing Funds | Budget Office \(stonybrook.edu\)](https://budgetoffice.stonybrook.edu/lapsing-funds).

f. Rollovers & Deficits

Units have the option of declaring rollover for planned surpluses for a fiscal year by the date specified in the email notification. All declared rollovers will be pulled from the 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 a unit is planning to cover any gaps with use of reserves, an amount should be entered as a negative in one of the GLs provided. Budgeting rollover is not applicable on IFR and SBF accounts. Budgeted rollover for FY23/24 is for in year uses. If a rollover is negative, the unit must work with the Budget Team on a stabilization plan. The University is reviewing growing fund balances.

g. RevenueSharing

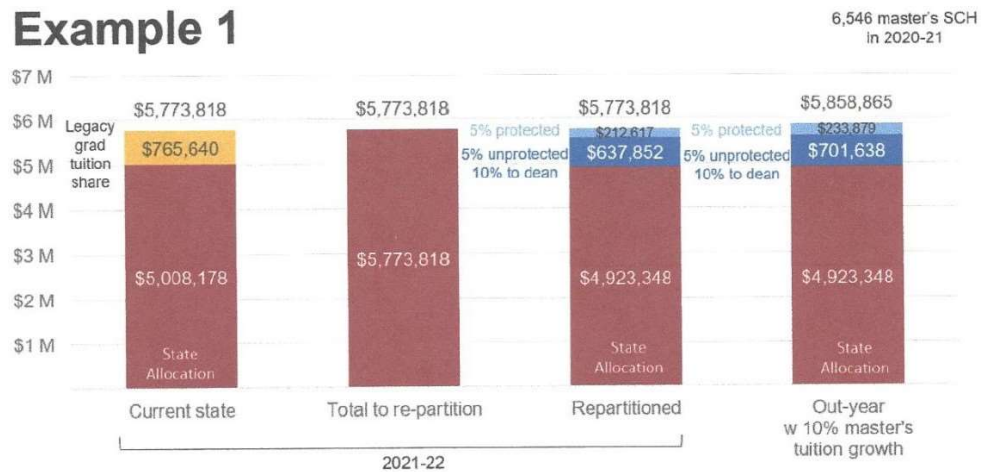
i. Graduate Tuition Revenue Sharing:

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.
- 2021/22 allocation to be repartitioned, see below for example

Example 1



- 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% to 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. 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, the total calendar year 2022 revenue collected will be returned via an allocation transfer to the program's state operating account in 2023/2024 (typically in the spring).
- Return must be in the form of an allocation transfer (TS) to a 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, Parental Leave Policy program, etc.

Graduate School and Sponsored Program guidelines:

- All grant proposals that include support for graduate students (i.e. as Research Project Assistants) must also provide support for graduate tuition.
- The tuition cost to be budgeted, and later funded by the award if successful, is equal to the New York State Graduate tuition rate for six (6) credits.
- Tuition support is required for Fall and Spring semesters only. Applicable for graduate student employees in the Research Project Assistant title only.
- 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 the 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. Due to timing, students may need to pay their bill first, and then receive reimbursement.

Principal Investigators can request ToRG waivers under certain 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 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). 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

IV. Personnel

As of September 21, 2022, there has been an update to Stony Brook University's 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 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 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 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
- PCR requests up to \$10,000.
- ATR approved requests

**VP03 PCR Procedural Changes
As of October 2023**

Workflow <i>For cases when PCRs no longer require Provost approval, unit leaders must ensure budgetary and financial compliance within their units.</i>	
GA/TA/RA/ Hourly Student Assistants	PCR is no longer required.
Independent Contractors/ Honorariums	PCR is no longer required for these requests if under 10k. If a request amount is 10k or higher, please submit a PCR for Provost review.
Summer/Winter Instruction	PCR is no longer required for any instructional payroll charged directly to 960001-XX SUTRA accounts. <i>All expenses charged to SUTRA accounts must be fully covered with Summer and Winter tuition.</i>
Summer salary for faculty	PCR is no longer required for summer salary for faculty so long as it is part of a previously established commitment: Start-up/RSR/MOU/Offer letter.
Toll Professors	PCR is no longer required for new Toll professorships or the reappointment of Toll professors.
AY (Fall/Spring) Adjuncts	PCR form will be required. Accompanying back-up documentation and comparison data will not be required for PCR submission. Units are advised to maintain their own records regarding course enrollment and comparison data. Unit leaders have the responsibility to ensure budgetary and financial compliance as it relates to adjunct hiring. The PCR request should be submitted through the normal channel for PCRs: provost_preapprovals@stonybrook.edu . It must clearly list the account where budgeted and the amount. The approved PCR must accompany the adjunct appointment paperwork being submitted to provost_reappointments@stonybrook.edu .

PCR Form Edits	
Retention	Retention will be added as a Request Type on the PCR field.
Start-up Package	The start-up fields will be removed from the PCR. <i>For VP03, start-up negotiations take place directly with the Provost, and approval is not provided based on PCR submissions</i>
Increase Amount (For raises)	This will be added under Budget Information. Please use this field to clarify the increased amount above the current salary being requested for promos, temp increases, retentions, etc.
Student Assistants	<i>Student (VP03 Provost Area only)</i> will be removed from Request Type. <i>Student Assistant</i> will be removed from Position Type.

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), RSRs will be completed as part of our Quarter 3 discussions, and well in advance of the unit's conversation with the prospective faculty member. Draft offer letters will now be known as acknowledgment letters. Acknowledgment 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 acknowledgment letters must follow the format approved by Human Resource Services. See appendices.

ii. Acknowledgement/Offer Letters

Acknowledgment Letter (Informal departmental offer) - Departments must submit to the 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 the 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 an 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) should be 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 should be processed by 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 the unit's Campus Budget Module (completed each Fall). If the position was not identified in the CBM, the unit 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's 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's Office) and should include a PeopleSoft change form, performance program, and performance evaluation. Dean's office then sends to the Provost's Office for appropriate review and signatures and then they are routed to HRS.

iv. On-Base Increases

Any on-base increase needs Provost Office approval. The unit must include how it 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 by the Provost's Office, it is signed and sent to HRS. Once HRS receives all paperwork and approves it, 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 a minimum of one month before the 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 of this paperwork is gathered, the departments will send it to their Dean's office for signatures, regardless if they are paying for the services or not. Once the Dean provides approval, the request is routed to the Provost's office for further approvals and signatures. Once approved by the 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 (Provost_reappointments@stonybrook.edu). Once approved by the Associate Vice President for Academic Budget and Financial Planning, it is emailed to HR Class & Comp for further review (please see Appendix 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 approval 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** (hrs_state_appointments@stonybrook.edu) Cc the Provost HR team: Provost_reappointments@stonybrook.edu.

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

and Multiple Employees

For a single employee, the unit 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: the 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	%
------	----------	----------------	---	----------------	---	----------------	---

Note that the distribution changes may take a couple of 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 before the earnings distribution change takes effect.**

V. 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](#)

VI. Journal Transfers

a. Expense Transfers

- Use the object code list in the template to match object codes to where the expense exists in SUNY BI
- Do NOT cross object codes (unless correcting an erroneous post)
- Any expense being moved should already 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 will help identify what the transfer was for)
- All expense transfers must be submitted using the new template provided by the accounting
- Ensure cross-VP journal transfers have the authorization of all VP areas involved
- 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, labeled with "X FUNCTION". When submitting a cross-function transfer, it must include a reason for the transfer in the email
- If the account is in a deficit, justify how you plan to clear the debt

b. Allocation Transfers

- Use the object code list in the template to match object codes to where the 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 will help identify what the transfer was for)
- 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 the accounting
- Each PDME can have a maximum of 10 pay periods per transfer
- Include the Line number of the employee and the total amount of the payroll to be moved

d. Journal Transfer Support Schedule

- This schedule is required for:
 - Transfer requests over \$25,000
 - Transactions where a deficit will be created in an IFR account – (support must be provided identifying the resources that will be used to resolve the deficit)

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

VII. 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
- Ensuring 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 other elite public universities in the AAU
- Building student learning outcomes consistent with the highest 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 robustly and maintaining ties to student needs, aspirations, and goals
- Recruiting and supporting outstanding graduate and professional students in rigorous programs that enhance research, scholarship, and artmaking across the University
- Exploring the development of rewarding and significant "alternative career paths" for master's and doctoral students
- Sustaining leadership in the development of innovative instructional practices
- Offering a robust array of opportunities for engaged learning and direct student experience with research, scholarship, or artmaking
- 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

- Ensuring 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 concerning facilities management while minimizing any adverse environmental impacts of operations
- Modeling best practices across administrative units and being an exemplar for other SUNY campuses and other higher education institutions
- Developing robust and consistent leadership succession plans across the academic units

C: EXPENSE TRANSFER TEMPLATE WITH NOTES

9/1/2023

STATE EXPENSE TRANSFER

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

Important Items to remember when requesting a Journal/Expense Transfer:

- All transfers are submitted on a Journal Transfer Template
- All transfers over \$25,000 must include a Journal Transfer Request Support Schedule.
- Capital construction requests from CPDC do not require Journal Transfer Request Support Schedules
- 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.
- IFR/SUTRA/DIFR IFR/HIFR IFR Must have cash balances to support the charges. If they do not, a Journal Transfer support schedule is required with your submissions.
- Cross VP transfers must have approval from both areas
- Be cognizant of lapsing deadlines when processing expense transfers.

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

The major object categories are as follows:

0000-Personal Service Regular	5000-Contractual Services
2000-Personal Service Temporary	5400-Telephones
3000-Supplies and Expense	7000 Equipment - Library Purchase
4000-Travel	

Func	Line #	ACCOUNT (8 DIGIT) ('must be placed in front of leading 0)	ACCOUNT DESCRIPTION	STATE FISCAL YEAR ex. FY2223 = 2022	OBJECT CODE	OBJECT DESCRIPTION	AMOUNT INCREASE/ (DECREASE)	LIABILITY DATE: CAN NOT BE > 2 MONTHS OLD	
0	1								
0	2								
0	3								
0	4								
0	5								
0	6								
0	7								
0	8								
0	9								
0	10								
0	11								
0	12								
0	13								
0	14								
0	15								
0	16								
0	17								
0	18								
0	19								
0	20								
0	21								
0	22								
0	23								
0	24								
0	25								
0	26								
0	27								
0	28								
0	29								
0	30								
Total							-	JT BALANCES	YES

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

Remember to keep descriptions under 23 characters

D: JOURNAL EXPENSE SUPPORT SCHEDULE (CONTACT BUDGET GENERALIST 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.

With the exception of Capital Construction Billing requests received from the CPDC area, requirements applicable to:

Transfer requests in excess of \$25,000
All transactions where a deficit will be created in an IFR account

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 OTDS to move OTDS.

Journal Transfer Support Schedule

Date:

Requester:
Department:
VP Area:
Cross VP (YES/NO):
Equivalent Expense (YES/NO):
If YES, provide CBM GL Class from 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 and should be pasted in after the below section is filled out.

Account	Account Title	Available Balance (Include Encumbrances)											
		PS			TS			OTPS			TOTAL		
		Curr Avail PS	JT Dr/Cr	Avail PS Bal after	Curr Avail TS	JT Dr/Cr	Avail TS Bal after	Curr Avail	JT Dr/Cr	OTPS Bal	Curr Avail Bal	JT Dr/Cr	Avail Bal after JT

2) Please provide the accrued cash balance in the boxes below for all accounts affected 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

Account Number:	
Account Title:	
1) Ending Cash balance as of today	
2) Accounts Receivable (Net of unco	- *Auto sum formula
In house (State/IFR/HFR/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:	
Account Title:	
1) Ending Cash balance as of today	
2) Accounts Receivable (Net of unco	- *Auto sum formula
In house (State/IFR/HFR/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)	-

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 GL Class	Description	Journal Value	CBM GL Class	Description	Journal Value
P50020	Cross VP Commitment	N9020	T50012	TS Fund Exchange Fiscal	N9027
P50021	Cross VP Commit Instructional	N9021	T50013	TS Fund Exchange Base	N9027
P50022	PS Fund Exchange Fiscal	N9027	T50020	Cross VP Commitments	N9020
P50023	PS Fund Exchange Base	N9027	T50021	Cross VP Commitments Instruct	N9021
P50030	Interchanges	N9002	T50028	Base Shortfall	N9058
P50032	Anticipated Pres Comm Base	N9032	T50029	Fiscal Shortfall	N9059
P50033	Anticipated Pres Comm Fiscal	N9033	T50030	Interchanges	N9002
P50037	Anticip Pres Com Base Instruct	N9037	T50032	Anticipated Pres Comm Base	N9032
P50038	Anticip Pres Com Fiscal Instruct	N9038	T50033	Anticipated Pres Comm Fiscal	N9033
P50042	Dean Start-Up - Fiscal	N9049	T50037	Anticip Pres Comm Base Instruct	N9037
P50045	Dean Commitments Fiscal	N9045	T50038	Anticip Pres Comm Fiscal Instruct	N9038
P50046	Dean Retention - Fiscal	N9046	T50042	Dean Start-Up - Fiscal	N9049
P50049	Dean Start-Up - Base	N9049	T50046	Dean Retention - Fiscal	N9046
P50053	Dean Retention - Base	N9053	T50049	Dean Start-Up - Base	N9049
P50055	Dean Commitments Base	N9055	T50051	Dean Retention - Base	N9051
P50057	PS Tuition Revenue - Noninst	N9057	T50058	Summer Revenue - Noninst	N9060
P50058	Base Shortfall	N9058	T50059	Winter Revenue - Noninst	N9070
P50059	Fiscal Shortfall	N9059	T50060	Summer Revenue	N9060
P50060	Summer Revenue Commitment	N9060	T50070	Winter Revenue	N9070
P50070	Winter Revenue Commitment	N9070	T50075	Special Appropriations	N9075
P50075	Special Appropriation	N9075	T50077	Salary Recovery Temp	N9077
P50077	Salary Recovery	N9077	T50078	Chairs Summer Salary	N9084
P50081	Special Appropriation Instruct	N9081	T50081	Special Appropriation Instruct	N9081
P50082	Salary Recovery Instructional	N9082	T50082	Salary Recovery Temp Instruct	N9075
P50083	PSR Leave Base	N9083	T50092	Fellowships-TS	N9101
P50084	PS Leave Base Instructional	N9083	T50090	TS Tuition Revenue	N9100
P50085	PSR Leave Fiscal	N9085	T50090	Rollover	N9090
P50088	Leave Fiscal Instructional	N9085			
P50087	Budget Reduction - PSR Non-inst	N9087			
P50091	Fellowships-PS	N9091			
P50092	GFT Rounding	N9018			
P50140	PS Tuition Revenue	N9140			
P50190	Rollover	N9190			
O50020	Cross VP Commitments	N9020			
O50026	Fund Exchange Base	N9027			
O50027	Fund Exchange Fiscal	N9027			
O50030	Interchanges	N9902			
O50032	Anticipated Pres Commit Base	N9032			
O50033	Anticip Pres Commitment Fiscal	N9033			
O50042	Dean Start-Up - Fiscal	N9049			
O50046	Dean Retention - Fiscal	N9046			
O50049	Dean Start-Up - Base	N9049			
O50053	Dean Retention - Base	N9053			
O50068	Base Shortfall	N9058			
O50069	Fiscal Shortfall	N9059			
O50073	Salary Recovery	N9077			
O50079	Member Item Funding	N9079			
O50093	Fellowships-OTPS	N9093			
O50090	OTPS Tuition Revenue	N9100			
O50090	Rollover	N9090			

Please note, Journal Expense Support Schedules are need for the following:

- Transfer requests in excess of \$25,000
- All transactions where a deficit will be created in an IFR account

STATE ALLOCATION TRANSFER

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

ALL CROSS VP ALLOCATION REQUESTS MUST BE SENT DIRECTLY TO THE BUDGET OFFICE FOR APPROVAL AND PROCESSING
 ALL NEGATIVE ALLOCATION REQUESTS MUST BE SENT DIRECTLY TO THE BUDGET OFFICE FOR APPROVAL
 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	← PLEASE INDICATE IF THIS XFER IS FROM THE PROVOST OFFICE	Cross VP Request? YES/NO	← PLEASE INDICATE IF THIS IS A CROSS VP TRANSFER
select YES/NO		*select YES/NO	

Line #	ACCOUNT (8 DIGIT)	ACCOUNT DESCRIPTION	STATE FISCAL YEAR ex. 2018 = 1819	OBJECT CODE	OBJECT DESCRIPTION	AMOUNT INCREASE/ (DECREASE)	ALLOCATION TRANSFER TYPE (class) (select from Alloc Xfer Type List)	TRANSFER TYPE (class) DESCRIPTION
1			2018					
2			2018					
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 23 characters

E. ALLOCATION TRANSFER TEMPLATE WITH NOTES

F. 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: 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/tr

(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 _____

I: 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

_____, Dean

Department of _____

College of _____

J: 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?

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#

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: 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. The 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 [AES Reports](#)

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. [BFP&A - CBM](#)

CS: Campus Solutions. Oracle software suite used for student and higher education administration including admissions, scheduling, financial aid, student financials and records & registration. [Campus Solutions](#)

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: [ERAS](#)

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 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.

GLOSSARY (TERMS/ACRONYMS) – CONT'D

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. [PeopleSoft](#)

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 [here](#).

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 the 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 [Research Support Request \(RSR\)](#)

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. [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. [SUNY BI](#)

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 more than 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 sessions & enrollment overflow. SUTRA accounts operate similarly 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. [Talent Management System \(TMS\)](#)

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. [YITP](#)