Rensselaer Polytechnic Institute
Operating & Capital Budget Guidelines
Effective July 1, 2001
Updated February 2016

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Performance and Activity Based Budgeting
Operating Budget Guidelines

Beginning with fiscal year 2001, Rensselaer adopted an integrated performance plan process that concludes with resource allocation decisions. These decisions are made based upon Presidential review of activities identified in a portfolio owners' performance plan and the outcome associated with that activity in relation to the Rensselaer Plan. The financial investment as an outcome of this process is substantial and does require a withdrawal from the endowment that was approved by the Board of Trustees.

With integrated planning, substantial investment, and a period of projected rapid growth, changes in financial reporting and monitoring are required. This document outlines the operating budget policies and processes to meet those requirements as well as reinforce the principles and practice of integrated planning. These policies and procedures are effective July 1, 2001, as updated February 2016.

Line Item Budgetary Accountability

Unrestricted operating budgets (education and general, auxiliary, designated) are approved by the line item categories as indicated in your annual budget allocation communication. Restricted budgets are subject to the policies and instructions of the sponsor or donor. Start up funds are governed by the hiring agreement. Constellation funds are subject to the hiring agreement and the Constellation Policy.

- “Recurring line item” categories are:
  - tenured faculty compensation (salary and benefits, exclusive of start up), all other faculty compensation (salary and benefits), continuing staff compensation (salary and benefits)

- “Non recurring line" item categories are:
  - faculty start up, graduate financial aid, non-salary (including student wages, temporary employment and approved transfers such as cost sharing and seed funding)

Substitution spending among line item categories requires approvals based on the nature and the dollar level of the substitution. The dollar level of the substitution represents annual aggregate amounts. Approved substitution spending is for the current fiscal year and is not incorporated into a portfolio’s base budget (starting point of the subsequent year budget process) unless specified in the approval.

Outlined below are the approvals required for substitutions:

The Vacant Tenured Faculty Policy outlines the use of these dollars. (Exhibit A is the Vacant Tenured Faculty Policy)

Substitutions within categories are allowed.
Substitutions between categories are allowed subject to the following guidelines:
(Exhibit F Operating Budget Change Request (OCR) Form should be used to obtain approvals)

- Substitution from a nonrecurring category (all except continuing compensation) to a recurring (continuing compensation) would require the approval of the Portfolio Owner (Dean and the Provost or Vice President), the AVP Finance and Budget, VP Finance/CFO and the President.

- Substitution from start up budgets or graduate financial aid budgets to another category would require the approval of the Portfolio Owner (Dean and the Provost or Vice President), the AVP Finance and Budget, VP Finance/CFO and the President.

- Substitution between the nonrecurring categories of cost sharing and seed funding involving changes of:
  - Up to $25,000 would require the approval of the Dean, Director, or Department Head and Portfolio Owner (Dean, Provost or Vice President).
  - $25,001 to $50,000 would require the approval of the Portfolio Owner (Dean and the Provost or Vice President), and the AVP Finance and Budget.
  - $50,001 to $75,000 would require the approval of the Portfolio Owner (Dean and the Provost or Vice President), the AVP Finance and Budget and the VP Finance/CFO.
  - $75,001 and above would require the approval of the Portfolio Owner (Dean and the Provost or Vice President), AVP Finance and Budget, VP Finance/CFO, and the President.

**Operating vs. Capital Budgets**

Portfolio Owners are approved for an operating budget and a capital budget separately. Substitution spending between the operating and capital budgets requires approval, and the net effect must be zero, e.g. increases in operating spending must be offset by decreases in capital spending. All such shifts, regardless of value, must be evaluated against the priorities of the portfolio’s performance plan and more broadly against The Rensselaer Plan. The process to consider reallocation of dollars in this way will utilize the Capital-Operating Budget Reallocation (COR) request form (Exhibit B) with the following approvals required:
• Substitution spending from a nonrecurring capital budget to an operating recurring line (compensation) would require the approval of the Portfolio Owner (Dean and the Provost or Vice President), the AVP Finance and Budget, the VP Administration, the VP Finance/CFO, and the President. Proposed substitution spending valued at $1 million and above would also require the approval of the Board of Trustees.

• Substitution between a nonrecurring capital line and an operating nonrecurring line involving changes of:
  - $50,001 to $75,000 would require the approval of the Portfolio Owner (Dean and the Provost or Vice President), the AVP Finance and Budget, the VP Administration and VP Finance/CFO.
  - $75,001 and above but less than $1,000,000 require the approval of the Portfolio Owner (Dean and the Provost or Vice President), AVP Finance and Budget, the VP Administration, VP Finance/CFO, and the President.
  - $1,000,000 and above would require the approval of the portfolio Owner (Dean and Provost or Vice President), AVP Finance and Budget, VP Administration, VP Finance/CFO, the President, and the Board of Trustees.

Once approved, the COR or Capital-Operating Budget Reallocation Request Form will be forwarded to the originating portfolio. Rejected COR forms will be returned to the portfolio with an explanation, including possible alternative approaches to address the request.

**Position Control**

Spending by Portfolio Owners has been approved only for the positions supporting the salary line in the budget allocation communication. New positions and promotions not identified during the budget process need to be approved.

Organizational changes that do not have budgetary impact are subject to Human Resource policies and are not addressed here.

Attached is a flow chart detailing the hiring process (Exhibit C). As the steps of the chart indicate, prior to a search a position has to be approved either as a result of a vacancy (position replacement, tenured faculty lines subject to the Vacant Tenured Faculty Policy), the budget process or in the interim through new position approval.

New positions require the approval of the Portfolio Owner (Dean and the Provost or Vice President), the AVP Finance and Budget and VP Finance/CFO for funding validation.
purposes, Human Resources for job responsibility, title and salary range validation, and the President. Requests should be made using the Position Approval Form (PAF) (Exhibit D).

Once approved, the Position Approval Form (PAF) will be forwarded to Human Resources for processing. Rejected PAF forms will be returned to the portfolio with an explanation, including possible alternative approaches to address the request.

Promotions would need approval subject to the line item accountability rules detailed above (for funding validation) and reporting lines as follows:

- Direct reports to a Department Head or Director require Portfolio Owner approval (Dean, Provost, or Vice President), the AVP Finance and Budget for funding validation purposes, Human Resources for job responsibility, title and salary range validation.

- Direct reports to a Dean require Provost approval, the AVP Finance and Budget for funding validation purposes, and Human Resources for job responsibility, title and salary range validation.

- Direct reports to a Cabinet Member require Portfolio Owner (Provost or Vice President), the AVP Finance and Budget for funding validation purposes, Human Resources for job responsibility, title and salary range validation, and the President.

A formal request needs to be made to Human Resources to initiate the process.

**Designated Funds, Carryovers, and Encumbered Funds**

Designated funds will only be established for the following purposes and subject to time limits as stipulated below:

- Research Incentive funds are subject to the guidelines and funding allocations of the Principal Investigator Research Support procedure (Exhibit E). No other fund transfer into these funds will be done without prior approval from the Provost.

- Faculty Start up funds and constellation funds are subject to what has been approved in the budget process and subsequently approved in the hiring process. Start up funding not used within four full fiscal years from the date the fund is established will revert back to the Institute. Existing faculty start up funds (funds established prior to fiscal year 2002) that have any remaining funding in four fiscal years (July 1, 2005) revert back to the Institute. Constellation funds are governed by the Constellation policies and agreements.

- Purpose is approved by the President during the annual budget process. Funding not used during the relevant budget year reverts back to the Institute. A one-year extension can be requested and approved during the subsequent annual budget
process. Extensions can be granted as often as deemed necessary by the President.

- Board Approved funds, i.e., Bequests waiting for Committee determination.

Carryover of a current year budget surplus into a reserve fund will not be allowed unless the surplus was projected, identified and approved for use in the subsequent fiscal year during the relevant budget process.

The process to encumber budget funds on unrestricted accounts (accounts which have only annual budgets) is unallowable.

**Forecast Process and Request for Modifications (for Portfolio’s Current Fiscal Year Budget Allocation)**

Three times during the fiscal year, a full funds forecast will be requested from each portfolio. These forecast periods also represent planned opportunities to request approval for a modification or increase to a portfolio’s current year budget allocation (Operating Budget Change Request - Exhibit F (OCR)). A request for an overall increase in a Portfolio’s budget allocation requires Presidential approval. All modifications, regardless of value, must be evaluated against the priorities of the portfolio’s performance plan and more broadly against *The Rensselaer Plan*. Below are the periods of time:

- **October First Quarter** – Official forecast used in Management Reporting and another opportunity to request a modification to a portfolio’s current year budget allocation. A detailed full funds response is required from each portfolio. The web-based Forecast Application is to be used to enter the forecast; Exhibit F is to be used to obtain the approvals.

- **January Second Quarter** – Official forecast and projection to be used as the foundation for the subsequent year budget request and again another opportunity to request a modification to a portfolio’s current year budget allocation. A detailed full funds response is required from each portfolio. Responses are submitted directly to the AVP Finance and Budget; Exhibit F is to be used to obtain the approvals.

- **April Third Quarter** - Official forecast used in Management Reporting and another opportunity to request a modification to a portfolio’s current year budget allocation. A detailed full funds response is required from each portfolio. The web-based Forecast Application is to be used to enter the forecast; Exhibit F is to be used to obtain the approvals.

Each forecast should be accompanied by a one-page variance report explaining the variances within the portfolio. A projected over expenditure for the whole portfolio needs to be accompanied by the variance report and a plan to minimize spending in the portfolio or an Operating Budget Change Request (Exhibit F OCR). An Operating Budget Change Request where an overall increase to a budget allocation is being requested, may be approved as a one-year resource need (current year forecast variance) or as a permanent
budget increase (modification to the budget, not a variance). The President will make this determination. A consolidated portfolio forecast needs to be reviewed and approved by the owner and submitted to the Budget Office. Academic portfolios need to submit to both the Provost and Budget Offices.

An Operating Budget Change Request (Exhibit F OCR) may be made at any time during the year (outside of the forecast process). The request needs to be made by the Portfolio Owner, submitted for approval to the Provost Office for Academic areas and submitted to the Finance Division for approval, and then if required as outlined by these guidelines, forwarded to the President for final approval. The Portfolio Owner is responsible to transport the request through the process. However, if the request is made as part of the forecast process the Budget Office will forward. For any request, the President may ask for an interview with the Portfolio Owner for further discussion.

Once approved, the Operating Budget Change Request (OCR) form will be forwarded to the originating portfolio. Rejected OCR forms will be returned to the portfolio with an explanation, including possible alternative approaches to address the request.
Capital Budget Guidelines

Concurrent with the development of performance plans to execute the strategies outlined in the Rensselaer Plan, the Capital Budget process was implemented to link performance plan strategy with specific portfolio actions on a prioritized basis. For capital budgeting, this effectively modified, and in some cases made obsolete, the previous capital appropriation process.

For the 2001-02 capital budget and beyond, “capital expenditures” are defined as the construction, renovation, purchase or lease of an asset (facilities, equipment, software) that costs $50,000 or greater and has an expected useful life of at least one year. This includes major capital equipment costing $50,000 or more. These are the items that are included in the approved capital budget and plan.

Project Approval, Flexibility and Change Process

Beginning with FY2002, the Appropriations Request (AR) process was discontinued. No additional authorization is required for capital expenditures totaling less than $1 million that were approved as part of the annual capital budget approved by the Board of Trustees, so long as the approved project purpose, funding source, and amount remain unchanged.

Capital Project Flexibility

In recognition of the fact that project costs do change as estimates are updated or conditions change, substitutions between projects funded within a specific capital program pool, or between project line items within a portfolio, will be authorized under the conditions listed below, so long as the substitution does not affect the overall level of the project pool or portfolio’s overall capital budget allocation (e.g. increases to one project would have to be offset by a reduction of at least equal value to another project within the project pool or portfolio allocation).

While the approval threshold for proposed substitutions is keyed to each substitution occurrence, the Finance Division will monitor the frequency of such substitutions to identify excessive use of this flexibility. Based on this review, a portfolio’s ability to continue to substitute may be suspended until a justification for all modifications is provided. All such substitutions, regardless of value, will be evaluated against the priorities of the portfolio’s performance plan and more broadly against The Rensselaer Plan.

For Restricted funded projects:

An estimated pool of funding amount is created by portfolio at the budget development time, by each project or equipment purchase anticipated to occur during the fiscal year being budgeted. Changes to this list are anticipated as contracts evolve and change, or new ones are developed. For each new project or equipment purchase not identified
during the budget process, the following approvals utilizing the Capital Expenditure Request (CER) form (Exhibit G) are required:

- Any new project or equipment purchase that is fully funded by the contract (no cost sharing or renovation, installation costs) would require the approval of the Dean, Director or Department Head, the VP Administration, and the AVP Finance and Budget.

- Any new project or equipment purchase that has cost sharing or renovation, installation costs to be funded by the Institute, would require the approval of the Dean, Director or Department Head, the Provost, the VP Administration, the AVP Finance and Budget, the VP Finance/CFO and the President. Renovation or installation costs of $1,000,000 and above would additionally require the approval Board of Trustees.

Once approved, the CER form (Exhibit G) will be forwarded to the originating portfolio and then to the Administration Division or Academic Area for processing, as appropriate. Rejected CER forms will be returned to the portfolio with an explanation, including possible alternative approaches to address the request.

Capital Project Changes

Proposed changes to *previously approved capital projects* that would alter the project purpose, funding source, or increase the portfolio's overall approved capital budget allocation (e.g. cannot be accommodated through a project pool change or substitution within the portfolio) must first be authorized through the submittal of a Capital Budget Expenditure Request (CER) form (Exhibit G).

Specifically, requests involving changes of:

- Up to $50,000 would require the approval of the Dean, Director or Department Head and the AVP Finance and Budget.

- $50,001 to $99,999 would require the approval of the Dean, Director or Department Head, the portfolio Vice President or Provost, the VP Administration, and the AVP Finance and Budget.

- $100,000 to $149,999 would require the approval of the Dean, Director or Department Head, the portfolio Vice President or Provost, the AVP Finance and Budget, the VP Administration, and the VP Finance/CFO.

- $150,000 and above but less than $1,000,000 would require the approval of the Dean, Director or Department Head, the portfolio Vice President or Provost, the AVP Finance and Budget, the VP Administration, the VP Finance/CFO, and the President.
• $1,000,000 and above would require the approval of the Dean, Director or Department Head, the portfolio Vice President or Provost, the AVP Finance and Budget, the VP Administration, the VP Finance/CFO, the President, and the Board of Trustees.

All such changes, regardless of value, will be evaluated against the priorities of the portfolio’s performance plan and more broadly against The Rensselaer Plan. Once approved, the CER form (Exhibit G) will be forwarded to the originating portfolio and then to the Administration Division for processing. Rejected CER forms will be returned to the portfolio with an explanation, including possible alternative approaches to address the request.

**Unbudgeted Capital Expenditures**

The capital expenditure levels approved as part of the annual capital budget are designed to achieve the outcomes identified in portfolio performance plans. Capital expenditure amounts are approved for the dollar amounts identified by project, *with no other capital expenditures approved*. Therefore, approval must be obtained prior to proceeding with capital expenditures that were not approved as part of the annual capital budget.

Portfolios seeking approval for capital expenditures that were not part of the annual comprehensive capital budget will need to submit a CER form (Exhibit G). All such requests, regardless of the funding level (e.g. $50,000 and above), will require the approval of the Dean, Director or Department Head, the portfolio Vice President or Provost, the AVP Finance and Budget, the VP Administration, the VP Finance/CFO, and the President. The Board of Trustees’ approval will also be required for CER’s valued at $1 million and above.

Such requests must also include the following information, which should be attached to the CER form (Exhibit G):

• The proposed purpose, amount, funding source (designated, grants, sponsored research, endowment, or operating funds), and outyear impact if a multi-year project;

• The timeframe for the capital expenditure, including the proposed end date of the project if construction or renovation, in-service date for major capital equipment acquisition, and lease commencement date and term for capital leases;

• A statement of how the project relates to the strategic goals of the portfolio’s performance plan and *The Rensselaer Plan*;

• Regarding equipment purchases, the role the acquisition has on instructional programs; and
• An assessment, to be made in conjunction with the Administration Division, relative to space requirements for the equipment and any ongoing maintenance and operating support required (e.g. technical support costs, utilities, etc.).

**Commitments and Spending**

Once the Board of Trustees approves the annual capital budget, portfolios are authorized, where necessary, to begin to make commitments immediately through contracts or purchase orders on all approved capital projects, **so long as the term of service or expenditures begin on or after July 1st of the succeeding fiscal year.**

This ability to make commitments for projects is especially important for capital activity that is weather or school year-dependent, and thus must be accomplished over a shorter construction period. However, unless specifically authorized by the President or in the budget resolution adopted by the Board of Trustees, no actual capital expenditures can commence prior to the beginning of the fiscal year for which they have been approved.

In order to establish the appropriate plant fund, as appropriate, to authorize such commitments, portfolios with approved capital expenditures as part of the capital budget must verify their approved funding sources with the Administration Division and the Finance Division prior to the establishment of a plant fund for the project. All funding sources must be cited in the establishment of the plant fund for the project using the Capital Project Plant Fund Create form (Exhibit H). These forms should also include the appropriate Rensselaer Plan program and activity codes for the project.

All other expenditure funding sources, including gifts, grants, and debt, along with the appropriate Rensselaer Plan program and activity codes, should be specifically identified by fund by the portfolio owner on the fund create form prior to the establishment by the Finance Division of a plant fund for the project.

**Capital Projects Below $50,000**

Construction, renovation or capital equipment purchases and leases costing **less than $50,000** are to be funded out of individual portfolio operating budgets within the line items allocated for these purposes (“Supplies & Services” and “Equipment”) **or** out of unallocated fund balances (e.g. Faculty start-up). The approval process for these items will be consistent with those in place for all other operating budget allocations, with **the amount of approved and unencumbered funds in the budget line items or unallocated fund balances controlling the expenditure of funds.**

Requests for equipment acquisitions costing less than $50,000 will be generated as in the past through a requisition order to Procurement Services. The requisition will need to cite the operating budget “Equipment” line item **or** the unallocated fund balance that is being utilized for the acquisition. Once approved, a purchase order will be generated.

Renovations and capital leases costing less than $50,000 (e.g. multi-year leases whose annual cost is less than $50,000) are to be funded through the portfolio’s “Supplies
and Services’ line item. Prior to the establishment of a plant fund for renovation projects (assuming it can be capitalized for accounting purposes) and the transfer of operating dollars into the plant fund, portfolios will need to cite the operating budget funding source. This information is to be provided on the Work Order Request form (Exhibit I) and the Capital Project Plant Fund Create form (Exhibit H) that is to be submitted to the Finance Division for plant fund processing and funding allocation.

The determining factor regarding whether the project moves forward will again be the availability of approved and unencumbered funds in the line item, and the ability of the Administration Division to incorporate the project into its construction and renovation schedule. For this reason, it is critical that renovation project requests be submitted with as much lead time as possible so as to increase the likelihood that the project can be accommodated in the fiscal year and timeframe requested.

**Project Timelines & Cash Flow**

Capital expenditure cash flow projections are prepared jointly on a quarterly basis by the Administration and Finance Divisions in order to effectively manage the comprehensive capital budget. This cash flow activity will be monitored consistently, with progress updates to be included in the quarterly budget forecasting process. This process is vitally important in determining the best financing options available to fund the capital budget, as well as to assist the Administration Division in planning the deployment of resources for capital purposes. It also assists in the tracking of financial outcomes that will be measured as part of the performance planning monitoring system.

As such, it is important for portfolios to expedite requests from the Administration and Finance Divisions for quarterly updates to their capital expenditure activities. As part of these cash flow projections, each portfolio owner that was approved for capital expenditures is expected to provide to the Administration Division an estimate of the requested end date for each project to enable the Division to develop a timeline for all projects and resolve where potential conflicts exist.

**Project/Year-end Closeout**

Upon completion of approved capital projects, any savings from budgeted amounts will be transferred to the President’s Capital Contingency Fund for possible reallocation at a later date. The exceptions to this involve capital projects that have been funded from a restricted source (research, gift, endowment) or current year portfolio unrestricted operating funds. For a restricted source, any savings will be transferred back to the source. For unrestricted operating funds, any savings from budgeted amounts will be transferred back to the operating fund of origin ONLY if the original transfer occurred during the current fiscal year. The policies regarding unexpended operating funds and fiscal year end will still apply to such transferred funds. All other savings from operating funded capital projects are to be transferred to the President’s Capital Contingency Fund. In addition, any budgeted unrestricted operating capital funds not in a project plant fund account on June 30th will also be transferred to the President’s Capital Contingency Fund.
Current year capital funds residing in research, designated, restricted, or plant fund accounts, whether encumbered or not, will roll to the next fiscal year so long as it is clear that the project is still in progress with specific timelines and projected outcomes in place. The Finance Division, in conjunction with the Administration Division and the affected portfolio, will assess each plant fund at fiscal year-end to determine the magnitude of the rollover for each project still in progress.
POLICY ON VACATED FACULTY POSITIONS
Rensselaer Polytechnic Institute

Background
In order to fulfill the objectives and meet the goals outlined in the Rensselaer Plan, it is both prudent and desirable to have in place a mechanism by which faculty salary resources can be redistributed in an on-going basis, both to meet the changing needs of the Institute and to grasp new opportunities as they arise. This is especially important in times of overall changing enrollments of the Institute and the shifting of enrollment trends towards or away from new and/or traditional disciplines.

In the recent past, only limited reallocation of resources has occurred. This reallocation has been primarily within the different schools and, has been based on a combination of performance, both Institute and school priorities, and changing needs. These modest attempts at reallocation, usually in amounts smaller than the typical faculty position requirements, have often been overshadowed by larger scale commitments of resources as a result of the past incentive based allocation process or, commitments made to incoming faculty through start-up packages. The policy described herein is designed to help ensure that both new and existing resources can be used to promote and help accomplish the overall objectives outlined in the Rensselaer Plan and steer the Institute towards the goals and objectives determined through the performance planning process. An additional factor supporting the development of this policy is the desire and, in fact, the necessity of diversifying the faculty.

General Policy Statement
The basic tenet of this policy is that funds from all vacated tenure and tenure-track positions will not automatically remain with the department or school in which the faculty member was employed, but will revert to the Office of the Provost for redistribution according to the changing needs and institutional priorities. Conversely, permanent loss of these position monies is not automatic. The department or school in which the vacancy occurs can retain these funds given sufficient justification is provided. This justification will be balanced against and compared with the needs and priorities of the other units within the Institute. Given that schools and/or departments experiencing unexpected vacancies need time to make a case for retaining the associated resources, care will be taken to maintain a proper balance between the needs of the various units and the overall directions of the Institute.

Effective Date and Affected Positions
This policy applies to all tenured and tenure-track faculty positions vacated on or after July 1, 2000, whether by retirement, voluntary, or involuntary separation. Guidelines for handling each of these types of vacated positions are given in more detail below. However, regardless of the type of position, the exact timing of the transfer of full or partial funds to the reallocation pool will be evaluated on a case-by-case basis.

Retirements
The Institute does not wish to provide disincentives, directly or indirectly, for departments and faculty members to consider retirement. Therefore, if the retirement is coupled to part-time employment of the individual, and, if the Provost and President approve this modified retirement agreement, movement of the funds to the reallocation pool will be appropriately adjusted.
Voluntary Separation

For this type of vacancy, the full amount of the faculty salary will be placed in the reallocation pool. Although consideration will be given to needs of the department to carry out the past teaching duties of the exiting faculty member, the decision on whether those needs outweigh the needs of other departments and/or schools will be based primarily on quantitative measures of faculty load, and on Institute priorities.

Involuntary Separation

Again, the Institute does not wish to provide disincentives for departments and/or schools to work towards involuntary separation, for faculty members who fail to perform at a level consistent with the expectations of the faculty at Rensselaer. This particularly relates to tenure decisions. Therefore, when a vacancy is generated by a department or school’s decision not to renew the appointment of a tenure-track faculty member (prior to mandatory consideration for tenure) or to not recommend tenure for an individual, special consideration will be given to justification from the school to retain all, or at least a significant fraction of the funds.

Procedure

Within 30 days of being notified of a proposed vacancy, the Department Chair will submit a completed Employment Transaction Form (see attached) and forward it to the Dean of the appropriate School. The completed form will then be forwarded to the Provost, with copies to the Vice President for Finance and Vice President for Human Resources. A multi-year history of “institutional funds” utilized by a given exiting faculty member will normally be used to determine the level of funding assigned to a specific vacancy.

Once all salary commitments relative to the transitioning out of the faculty member have been fulfilled, all remaining funds will revert to the Office of the Provost. The Dean may then prepare a formal request for submission to the Provost to:

1) request that all or a portion of the funds to be returned to the administrative unit for the remainder of the fiscal year, to cover the teaching responsibilities associated with the vacated position. This request should include a detailed plan of how these funds will be utilized, or

2) request that the funds associated with the position remain as part of the baseline budget for the coming year. In this case, the request must be accompanied by a justification of how the position will be used; how the request comports with the goals and objectives outlined in the most recent Performance Plan, and how it will support the goals and objectives proposed in the Performance Plan for the coming year.

While the Dean may choose to include Department Chairs in the formulation of the plans for these funds, the Provost, after approval by the President, will reallocate the funds to the Dean of the School, and not to a particular department.

If the request to allow the funds associated with the position to remain as part of the baseline budget for the coming year is approved, and permission to initiate a search granted, the Dean will submit a completed Position Requisition Form (attached) to the Provost. Copies of this form will also be sent to the Vice President for Finance and the Vice President for Human Resources for budget and position verification. The remainder of the hiring process will follow the steps outlined on the attached flow chart (attached).
Closure

In closing, the purpose of this policy is to formalize the process by which vacancies are reported, resources allocated and new searches undertaken. The process outlined herein will allow the Institute to move forward in high priority areas while simultaneously meeting the changing teaching needs among the various schools and departments. An additional benefit of this policy will be an increase in the opportunity and incentives for diversifying the faculty.

Approved: [Signature] approved on 2/20/01

Shirley Ann Jackson, President  Date
Capital-Operating Budget Reallocation Request (COR)

A CAPITAL-OPERATING BUDGET REALLOCATION REQUEST FORM IS REQUIRED FOR ANY PROPOSED REALLOCATION AS INDICATED BY THE BUDGET GUIDELINES BETWEEN A NONRECURRING CAPITAL BUDGET AND AN OPERATING LINE (RECURRING OR NONRECURRING)

DESCRIPTION/REALLOCATION JUSTIFICATION:  
(Please discuss impact on achievement of priority or priorities from your Performance Plan, include outcomes anticipated.)

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All proposed reallocations to an operating recurring line requires the approval of the President.

Questions regarding this process should be directed to the AVP Finance and Budget Ext. 6034 or the Sr. Business Manager for the Administration Division Ext. 6628.

Please indicate the FOAPA(s) to be moved from and FOAPA(s) to be moved to, including whether the operating funds are recurring or nonrecurring.

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CONTROL TOTAL  

ADD ALL AMOUNTS AS DEBITS

Please return this form with the appropriate approvals to Finance_Rice@rpi.edu or to the Budget Office.
## Capital-Operating Budget Reallocation Request (COR) APPROVALS

*Signature required for all reallocations to recurring operating lines*

### DESCRIPTION:

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Faculty Hiring

This outline is intended to describe employment processes for faculty hiring and to complement the policies and procedures described in the Human Resources Policy Guidelines.

Please click on each of the links below for a full description of each part of the faculty hiring process. Re-clicking the link will re-close the item and you may make another selection.

1. **Planning and Identifying the Position**

   Before the Position Approval Form (PAF) The Academic Department Head or Hiring Manager will obtain the necessary approvals from the Dean, the Provost and the Budget Office in the identification of projected openings.

2. **Approving the Position**

   The academic department will initiate the paper Position Approval Form (PAF) and obtain the following required approvals:

   - Dean
   - Provost
   - Assistant Vice President for Budget or Budget Director

   The Division of Human Resources will:

   - Obtain approval from the Vice President for Human Resources
   - Prepare a compensation review
   - Assign and communicate a search number to the department, Dean's Office, Provost's Office and Budget Office

3. **Recruiting Candidates**

   The Division of Human Resources will:

   - Coordinate an advertising plan with the department head or hiring manager
   - Place advertisements and handle the related billing

   Note: The Division of Human Resources is available to educate interviewing committees regarding effective interviewing techniques.
The department head or hiring manager will:

- Receive and screen application materials
- Interview prospective candidates
- Evaluate references, credentials and qualifications
- Collect and maintain applicant data and materials to comply with Affirmative Action rules
- Conduct recruitment in a non-discriminatory manner as prescribed by Title VII of the Civil Rights Act of 1964

Note: No verbal or written offer of employment is to be made without the approval of the Provost and the Division of Human Resources. This includes counteroffers.

4 Making Recommendations for Hire

The department head or hiring manager will prepare a formal recommendation for the Dean to include:

- A completed Affirmative Action Form (AAF)
- The completed PAF with salary budget worksheet
- The dossier with Curriculum Vitae (CV)
- The complete list of all applicants
- The CVs of all interviewed applicants
- A cover memo summarizing the offer, including
- An explanation of how the candidate meets the posted criteria for the position
- A recommendation for the salary offer
- Justification for the salary offer

The Office of the Dean will:

- Review the formal offer recommendation
- Prepare a draft offer letter
- Sign the PAF and AAF as required
- Submit the recommendation to the Office of the Provost

Note: The Division of Human Resources recommends that potential counter offers be considered at this stage to facilitate negotiations after the recommendation has been approved.

The Office of the Provost will:

- Evaluate the recommendation to determine tenure or tenure track status
- Evaluate the recommendation in light of the overall faculty recruitment plan
- Prepare a draft offer letter
- Submit the offer to the Budget Office
The Budget Office will:

- Review the salary recommendation in light of the approved budget
- Submit the offer to the Division of Human Resources

The Division of Human Resources will:

- Ensure that Federal and State employment laws were followed during the recruitment process
- Ensure that selected candidate meets the minimum criteria for the position as advertised
- Review the salary recommendation for internal equity, market competitiveness and adherence to approved budget and hiring plans
- Review references and credentials
- Review the applicant pool for Affirmative Action purposes
- Provide written determination and approval to the Provost

5. **Making an Offer**

The Provost and Dean will coordinate the offer.

The Office of the Provost will mail the offer package, to include:

- Letters from the Dean and the Provost
- Required personnel, payroll, and policy forms and information
- Required academic forms and information

The Dean will notify the Provost and the Division of Human Resources when the offer has been accepted. **Please note that Human Resources must be notified if the candidate declines the offer.**

6. **Hiring the Employee**

The Dean’s office will complete an Employment Transaction Form (ETF), and forward it, along with the signed offer letters, to Human Resources through the Provost’s Office.

The Division of Human Resources will schedule an orientation and other on-boarding activities for the new faculty member.

**Effective Dates**

- New faculty are hired effective August 16 for the Fall Semester.
- New faculty are hired effective January 1 for the Spring Semester.

**Required Documents**

Human Resources will process the new hire when the required Human Resources documents are completed and received.
Special Rules for Employment Eligibility

- All new employees (faculty and staff) must present documentation of eligibility to work in the United States before the new hire will be completed.
- Non-US workers must hire an attorney to work with the Division of Human Resources well in advance of the anticipated start date.

Rensselaer Identification Numbers (RINs)

A Rensselaer Identification Number (RIN) is created when the New Hire Packet and employment eligibility documents are approved and processed. The RIN will then be entered into Banner, and sent to Payroll. At this point, the new employee is ready for an ID card, parking privileges, etc. After an overnight accounting run of the system, the employee's RCS account will also be ready.

Last modified: June 23, 2008
Staff Hiring

This outline is intended to describe employment processes for **staff hiring** and to complement the policies and procedures described in the Human Resources Policy Guidelines.

Please click on each of the links below for a full description of each part of the staff hiring process. Re-clicking the link will re-close the item and you may make another selection.

*(Note: Please contact your Portfolio Business Manager before contacting the Division of Human Resources)*

1. **Plan for the Position**
   - Secure Approval to Recruit (note: for research positions on external funds, go to "Define the Position")
     - Evaluate opportunities for Workforce Optimization
     - Identify Funds for the position
     - Secure Approval through the Staff Attrition Management (SAM) process
       - Provide a justification memo to Portfolio Owner (via Portfolio Business Manager) attached to a Staffing Level Evaluation Form
       - Portfolio Owner attends quarterly SAM meeting for HR and Finance approval, and communicates approval to hiring manager
   - Define the Position (once approval is in hand)
     - Contact the HR Specialist, Compensation (ext. 6737) for assistance in defining and classifying the position using the Performance Management Tool and the on-line On-line Position Description Module
     - The Performance Management Tool (PMT) is the word document
     - The Position Description (PD) is the on-line version that is found in People Admin
     - An approved PD is needed to create an on-line Requisition
   - Determine if a competitive search is needed
     - A competitive search in all cases where the department has not identified a candidate
     - A competitive search is required in all cases where the cumulative appointment is expected to span more than one academic year
     - Appointments will not be extended past one Academic Year without a competitive search

2. **Submit a Posting**
   - Use the on-line Applicant Tracking System (ATS) for all staff hiring. The ATS contains the Position Approval Form (PAF). The following required approvals are built into the ATS:
     - Office of the Dean, VP or other portfolio owner
     - Division of Finance (Budget Office)
     - Division of Human Resources
3 Recruitment and Selection of Candidates

- An HR Recruiter schedules a manager meeting to discuss the Recruitment Strategy. The discussion will include:
  - Placement rate goals
  - Standards and criteria for selection (minimum qualifications)
  - Advertising plan and budget
  - Salary strategy
  - Interviewing committee and process
  - Screening and interview strategy and questions
  - Release of Applicants
  - Timeline for Hiring
- The Recruiter posts and advertises the position
- The Recruiter monitors candidate pool demographic data
  - Together with the Manager of Employment Operations and the Hiring Manager, the sourcing strategy may be revised to ensure that the candidate pool demographics meet or exceed the established availability percentage.
- The Recruiter screens and releases candidates
  - Candidates must meet minimum qualifications
- Interviews Take Place
  - The Recruiter works with the Manager and Committee to ensure that interviews are conducted within guidelines
  - A process for the anonymous collection of feedback is established
- Finalist Selected (note: Invitations of Employment are extended by HR)
  - The Manager/Committee select a finalist
  - The Finalist is reviewed Portfolio Owner, who may elect to interview the finalist

4 Recommending a Hire

- Collect information needed for an "On-Line Hiring Proposal"
  - Three telephone references - completed by the hiring manager
  - Completed Disclosure and Authorization Form
  - Interview notes/summaries
  - Recommended dollar amount of the salary/wage to be extended (coordinate offer process with HR; do not make any salary offer on your own)
  - If the recommended amount exceeds the approved budget amount, include documentation of discussion between the budget office and the Business Manager
- Change the Applicant status to Recommended for Hire, and complete an On-Line Hiring Proposal
- Obtain approval from the portfolio owner:
  - The portfolio owner reviews the recommendation and then authorizes the Portfolio Delegate to approve the Hiring Proposal
- HR reviews the recommendation for:
  - Background check completion
  - Internal and external equity
  - Compliance with the approved budget
  - Documentation that a complete and fair recruitment was conducted

5 Extending an Invitation of Employment

- The recruiter reviews the offer process with the manager and discusses strategy
- The recruiter extends the invitation with regard to salary and benefits
- The hiring manager follows up the invitation with regard to the new employee’s start date and job specifics

Note: The Division of Human Resources creates the written offer once the Employment Transaction Form is received.

6 Hiring the Employee

(note: No one may perform any work until they have completed an I-9 and presented documents to a member of the Division of Human Resources)

- Employment Transaction Form
  - The department emails a completed Employment Transaction Form (ETF), including approvals and fund information, to hrmmail@rpi.edu
- Written Invitation of Employment
  - The Division of Human Resources will create a written invitation of employment letter
  - HR will work with the new employee and the department to arrange for the completion of the New Hire Packet and I-9
  - HR will work with the new employee and the department to schedule the Mandatory New Employee Orientation, which included benefits enrollment
- HR and Payroll Processing
  - HR will process the new hire when the required Human Resources documents are completed and returned to HR with identification to satisfy the I-9
- Special Rules for Employment Eligibility
  - All new employees (faculty and staff) must present documentation of eligibility to work in the United States before the new hire will be completed.
  - Non-US workers must work with Rensselaer’s immigration counsel and the Division of Human Resources well in advance of the anticipated start date. Please contact 518-276-6302 for instructions.
Getting Started: Rensselaer Identification Numbers (RINs)

New employees need a Rensselaer Identification Number (RIN) to get started. The RIN is needed to create employee accounts in a variety of systems you needed to function as a member of the Rensselaer community. These systems include:

- Payroll
- Computing/email
- Parking
- ID Card
- Building Access

A "RIN" is assigned once the completed New Hire Packet is returned to the Division of Human Resources and the requirements for an "Employment Eligibility Form I-9" are completed. Visit: "Getting Started" for more information.

Last modified: September 19, 2014
SECTION I: POSITION AND LABOR DISTRIBUTION INFORMATION

Position Title ____________________________
Department ____________________________
Building ____________________________
Room ____________________________

Hours/Day ____________________________ Hours/Week ____________________________ Month/Year ____________________________
Proposed Start Date ____________________________ End date (If fixed term or temporary) ____________________________

Hiring Supervisor’s Name and Title ____________________________
Contact Person’s Name, Phone Number, Email ____________________________

Regular ☐ Full Time ☐ Part Time ☐ Addition to Staff ☐ Replacement ☐
Fixed Term ☐ Faculty Tenured/Tenured track ☐ Reappointment with salary action ☐
Temporary ☐ Faculty Non-Tenure Track ☐ Other ☐

If replacement, list incumbent’s name and title: ____________________________

Proposed Pay Range: ____________________________ per (* one): Year ☐ Academic Year ☐ Hourly ☐ Contract Period ☐
Budgeted $ ____________________________ FTE ____________________________ Home Org ____________________________ Pooled Position ____________________________ Pooled FTE total ____________________________

Position # Fund Orgn Percent Position # Fund Orgn Percent
1. ____________________________ ____________________________ ____________________________ ____________________________ ____________________________
2. ____________________________ ____________________________ ____________________________ ____________________________ ____________________________
3. ____________________________ ____________________________ ____________________________ ____________________________ ____________________________

Academic Start-up Funding Amount For One Year: ____________________________ (Attach Provost Startup Form)

SECTION II: RECRUITING INFORMATION

FOAPA for Advertising expenses:

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Advertising will be placed by: Originating Department ☐ Human Resources ☐
Advertisement Style: Display ☐ In-Column ☐
Proposed Deadline: ____________________________ (for accepting applications)

Proposed advertisement placement (e.g. papers, journals, etc.): ____________________________

List specific recruitment strategies for minorities, females, disabled persons, or Vietnam Era veterans: ____________________________

Deadline for internal posting is Tuesday to appear in the upcoming CJO. All jobs will be posted for a minimum of one week.

SECTION III: REQUIRED SIGNATURES

By signing this requisition, you are indicating:
➢ The position is authorized and a budget has been allocated for the position.
➢ The hiring supervisor is aware of Rensselaer’s affirmative action responsibilities.

Originator ____________________________ Date ____________________________

Dept. Head/Chair/Director Date ____________________________ Dean of School Date ____________________________ Vice President/Provost Date ____________________________

Budget Approval Date ____________________________ Human Resources Approval Date ____________________________ President Date ____________________________

SECTION IV: CANDIDATE SELECTION

Selected Candidate: Name ____________________________ Salary Offered ____________________________ Revised Position Budget ____________________________ Source of Additional Position Funds ____________________________
Academic Startup Package ____________________________ (Attach Provost Startup Form) Provost Approval ☐ Budget Approval ☐

Selected Candidate: Name ____________________________ Salary Offered ____________________________ Revised Position Budget ____________________________ Source of Additional Position Funds ____________________________
Academic Startup Package ____________________________ (Attach Provost Startup Form) Provost Approval ☐ Budget Approval ☐

Selected Candidate: Name ____________________________ Salary Offered ____________________________ Revised Position Budget ____________________________ Source of Additional Position Funds ____________________________
Academic Startup Package ____________________________ (Attach Provost Startup Form) Provost Approval ☐ Budget Approval ☐
Principal Investigator Research Support (PIRS)

Procedure:

1. Tenure & Tenure Track faculty are eligible for PIRS

2. Research Support is calculated based on indirect costs recovered on expenditures on sponsored research contracts in the prior fiscal year and will be distributed annually on or about September of the next fiscal year (i.e. FY13 research support will be distributed in September 2012 based on FY12 actual indirect costs recovered). The full year distribution is 3% of the indirect costs recovered.

3. Research Support funding is for infrastructure and research development support that cannot be funded on grants. Examples include items such as computers, proposal writing, publishing, and strategic travel.

4. Support will be transferred into individual PI research support designated funds.

5. Funding will be available for expenditures for three years. At the end of that time, any remaining balance will revert to the Institute.

6. Mechanics of distribution:

   a. Distribution for FY12, done in the Spring Semester, will be based on FY11 actual indirect costs recovered. For FY12 only, this distribution will be 1.5% of indirect costs recovered in FY11.

   b. Distribution for FY13, done on 9/1/2012, will be based on FY12 actual indirect costs recovered. For FY13 and on, this distribution will be 3% of indirect costs recovered in the prior fiscal year.

7. Procedure will remain in place for three fiscal years. At the end of that period, the utilization and impact of the funds will be reviewed for effectiveness. A determination to continue the procedure will be made.
Operating Budget Change Request (OCR)

AN OPERATING BUDGET CHANGE REQUEST FORM IS REQUIRED FOR ALL REQUESTS FOR AN OVERALL BUDGET ALLOCATION INCREASE AND OTHER REALLOCATION/SUBSTITUTION REQUESTS AS INDICATED IN THE BUDGET GUIDELINES

DESCRIPTION/REALLOCATION JUSTIFICATION:  
(Please discuss impact on achievement of priority or priorities from your Performance Plan, include outcomes anticipated.)

FISCAL YEAR: ____________________

DATE: ____________________

All proposed reallocations to an operating recurring line requires the approval of the President. 
All proposed changes to Portfolio overall operating budget requires the approval of the President. 
Questions regarding this process should be directed to the AVP Finance and Budget Ext. 6034.

Please indicate the FOAPA(s) to be moved from and FOAPA(s) to be moved to, including whether the operating funds are recurring or nonrecurring.

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CONTROL TOTAL                                          ADD ALL AMOUNTS AS DEBITS

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Operating Budget Change Request (OCR)

**APPROVALS**

*Signature required for all reallocations to recurring operating lines*

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Capital Budget Expenditure Request (CER)

A CAPITAL BUDGET EXPENDITURE REQUEST IS REQUIRED FOR REQUESTED CAPITAL EXPENDITURES THAT ARE NOT PART OF THE APPROVED ANNUAL CAPITAL BUDGET OR THAT INVOLVE CHANGES TO PREVIOUSLY APPROVED CAPITAL PROJECTS THAT ALTER THE PURPOSE, FUNDING SOURCE, OR INCREASE THE PORTFOLIO'S OVERALL APPROVED CAPITAL BUDGET ALLOCATION.

Indicate weather the request involves a:

- New Project (not in Capital Budget) [ ]
- Change to Existing Project [ ]

Submittal Date: ______________________
Department: ______________________
Contact Name: ____________________
Phone #: ______________________
Project Manager: __________________
Start Date: ______________________
Completion Date: _________________
Approval Date Needed By: ____________

**DESCRIPTION:** You must attach a summary of the project and additional supporting information as required in the budget guidelines under "Unbudgeted Capital Expenditures"

(Please discuss impact on achievement of priority or priorities from your Performance Plan, include outcomes anticipated.)

Sponsoring Organization: ______________________

PLANT FUND NO: 9
(All Renovation Projects will be done in Plant Funds)

**Project to be done by:**

- CP&FD or Physical Plant [ ]
- Externally [ ]

**NEW OR ADDITIONAL EXPENDITURES REQUESTED:**

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<td>3</td>
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<td>4</td>
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<tr>
<td><strong>TOTAL FUNDING:</strong></td>
<td>-</td>
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</table>
# Capital Budget Expenditure Request (CER) Approvals

**DESCRIPTION:**

Department: ____________________________________________

<table>
<thead>
<tr>
<th>ORIGINAL REQUESTOR</th>
<th>VP ADMINISTRATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Print Name:</td>
<td>REQUESTS ABOVE $50,000</td>
</tr>
<tr>
<td>Signature:</td>
<td>Print Name:</td>
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<tr>
<td>Title:</td>
<td>Signature:</td>
</tr>
<tr>
<td>Date:</td>
<td>Title:</td>
</tr>
<tr>
<td>Phone#:</td>
<td>Date:</td>
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<table>
<thead>
<tr>
<th>DEANS/DIRECTORS</th>
<th>AVP FINANCE AND BUDGET *</th>
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<tbody>
<tr>
<td>ALL REQUESTS</td>
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<tr>
<th>SR. BUSINESS MGR. ADMINISTRATION</th>
<th>VP FINANCE/CFO</th>
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<td>ALL REQUESTS</td>
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<th>AVP ADMINISTRATION</th>
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<tr>
<td>ALL REQUESTS</td>
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<tr>
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<tr>
<th>VICE PRESIDENT/PROVOST</th>
<th>BOARD OF TRUSTEE</th>
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<tr>
<td>REQUESTS ABOVE $50,000</td>
<td>REQUESTS ABOVE $1,000,000</td>
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<td>Title:</td>
<td>Title:</td>
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<tr>
<td>Date:</td>
<td>Date:</td>
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</tbody>
</table>
CAPITAL PROJECT FUND CREATE FORM

PROJECTS $50K OR MORE MUST BE IN THE CAPITAL BUDGET OR APPROVED THROUGH THE CAPITAL BUDGET EXPENDITURE (CER) PROCESS PRIOR TO THE ESTABLISHMENT OF A PLANT FUND FOR THE PROJECT

PLEASE ATTACH SUMMARY FOR ALL NEW PLANT FUND REQUESTS

*REQUIRED FIELDS

TO: __________________________
FROM: _________________________
DATE: _________________________
PHONE #: ______________________
FISCAL YEAR: __________

PLEASE ESTABLISH NEW BANNER FUND AS FOLLOWS:
* Title: _______________________
* Projected Cost: _______________
* Funding Source: _______________
* Transfer Amount: _______________
Comments: ______________________

* Project Manager: _______________
* Project Manager Phone #: __________
* Project #: ______________________
Special Instructions: ______________________

FORM: FTMFUND (dir:\FORMS\FUND-NEW)

| Chart of Accounts | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 |
|-------------------|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|

* Effective Date Required By: __________

| Title: | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 |
|--------|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|

CODES 1 THRU 4 FOR BUILDING NAME ONLY, CODES 26 THRU 30 FOR CP&FD PROJECT NO. ONLY

Fund: _______________________
Fund Type: ___________________
* Financial Manager: __________
Organization: ___________________
Program: 71

NEW BANNER PLANT FUND #: _______________________
EFFECTIVE DATE: _______________________
APPROVED BY: _______________________
cc: _______________________

Exhibit H
WORK ORDER REQUEST *(Capital Projects Below $50,000)*

A WORK ORDER REQUEST IS REQUIRED FOR ANY PROPOSED NON-EQUIPMENT CAPITAL PROJECT TO BE FUNDED OUT OF PORTFOLIO OPERATING BUDGETS

<table>
<thead>
<tr>
<th>Date:</th>
<th>FISCAL YEAR:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requestor:</td>
<td></td>
</tr>
<tr>
<td>Department:</td>
<td></td>
</tr>
<tr>
<td>Contact Name:</td>
<td></td>
</tr>
<tr>
<td>Phone #:</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Funding Source:</th>
<th>Fund</th>
<th>Org</th>
<th>Acct</th>
<th>Program</th>
<th>Activity</th>
<th>Amount</th>
</tr>
</thead>
</table>

**Estimate Required Before Proceeding?**

Yes: [ ]  
No: [ ]

Type of Work:

- Painting
- Plumbing
- Masonry
- Carpenter
- Heating
- Ventilation
- Electrical
- Moving
- Air Conditioning
- Exhaust System
- Refrigeration
- Other

**Description of Work:**

____________________________________

____________________________________

Possible Hazards in this Area:

Safety Hazard
Toxic Chemicals
Radiation
Other

Estimate Amount ($): ________________________

Estimate Details *(for Facilities Use)* :

____________________________________

____________________________________

Authorization to Proceed:

Estimator Name: ________________________  Department Head Name: ________________________

Estimator Signature: ________________________  Department Head Signature: ________________________

Date: ________________________  Date: ________________________

* Estimates valued at $10,000 and above are capital expenditures that will require prior approval through the annual capital budget process or the Capital Budget Expenditure Request (CER) process.

Once an authorization to Proceed has been approved, please return this memorandum to the Administration Division with a copy to the Finance Division.