

CLAS Faculty Workbook

August 2013

College of Liberal Arts and Sciences
Business Services Center
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Welcome to CLAS

The College of Liberal Arts and Sciences is home to over 640 faculty across 24 departments, institutes, and revenue generating areas. We have approximately 14,000 undergraduates pursuing degrees among 46 majors, and 1,800 graduate students furthering their education within areas of the college. We are the largest academic area at UConn with a track record of granting the most degrees.

The information provided within this Workbook is targeted to new faculty joining the CLAS community. This workbook should be seen as a resource and information guide, not the full details needed in order complete a task.

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CLAS BSC

Welcome to the College of Liberal Arts and Sciences Business Services Center. The goal of the College of Liberal Arts and Sciences Business Services Center is to provide efficient, effective and professional financial services, while adhering to Federal, State, and University regulations and policies. The CLAS Business Services Center provides a wide variety of services to CLAS Departments, Faculty and Staff. We are located in Suite 345 of the Philip E. Austin Building, at 215 Glenbrook Road on the Storrs Campus. Please feel free to stop by, send us an email (bsc@uconn.edu) or give us a call at (860) 486 1231.

Accounts

The College has several different kinds of accounts with funds that can be categorized as Base/Permanent (or recurring) and Current/Onetime (or one off) funding. The beginning number of an account helps identify what the general purpose of the account may be:

2-Ledger (2xxxxxx) - These accounts are State or Tuition Funded Accounts. The most common account in this category is faculty salary savings accounts which do not currently have end dates. Other accounts are small research or Start Up accounts. Most 2 Ledger accounts are Departmental accounts.

4-Ledger (4xxxxxx) - These accounts are either funded by a internal awards, facility and administrative charges to sponsored projects, and from fees/rates charged for specialized services and instrumentation usage . The most common accounts in this category are IDC, Start Up, University Research Foundation Large/Small Grant Awards, and other Research Accounts.

5-Ledger (5xxxxxxx) - These accounts are federally funded grants and contracts and are often awarded to individual faculty members rather than departments.

(For questions pertaining to Grants and Contracts please contact the CLAS Grants & Contracts Manager – Allison Goldsnider, Allison.goldsnider@uconn.edu 860-486-6772, for Biology areas contact Biology Central Services, 860-486-4313).

6-Ledger (6xxxxxx) - These accounts are predominantly state or other non-federal grants and contracts. There may also be some 'gift' accounts which house scholarships or donations that were given specifically to the University rather than the UConn Foundation.

7-Ledger (7xxxxxx) - State Bond funds for the purchase of capital equipment. Historically the College has not received these funds often and many faculty do not have an active 7-Ledger account assigned.

Reporting

The CLAS Business Services Center has developed reports to assist Faculty in understanding their current budget position. Report examples can be found at:

<http://bsc.clas.uconn.edu/reports.php>. Reports are PDF documents generated from bsc@uconn.edu, and should not be considered SPAM. These are distributed on a bi-weekly basis to all active account supervisors within the College. The Business Services Center continues to review reports in order to create efficiencies and to capitalize on new capabilities of the university system. As reports change communication will be sent via email.

Important things to consider:

- Reports reflect all pending transactions that are in the financial system, even if they are yet to be approved.
- If your report indicates that the account end date has passed, any funds remaining revert back to the area that originally provided the funds.
- Accounts in deficit should be addressed as soon as possible; please contact your departmental staff member or CLAS BSC.
- 4-Ledger revenue accounts have been established as if all estimated revenue has been received; they do not reflect the Cash Balance.

- For grant accounts the Indirect Cost portion (Object Code 9900) has already been excluded.
- Payroll reports reflect information for the identified fiscal year only.

IDC Allocation

The Indirect Cost Allocation is the return a faculty member will receive based on the expenditures of grants and contracts on which they are the Account Supervisor (against indirect cost charges) in the prior year (through June 30th). The allocation is typically transferred to the faculty member around December of the next fiscal year. A Grant must be defined as research in order for the return to be part of the allocation. The current model for Indirect Costs is that the Department, Dean and Faculty/Principal Investigator (PI) each receive 10% of the prior year's IDC expenditures. IDC returns are allocated to a 4-Ledger account and do not have expiration dates. These funds are unrestricted.

Start Up

Faculty that are provided with Start Up funds are assigned an account in their name to track spending. This account will be established with a budget reflecting their full Start Up package and an end date as indicated in the offer letter. Any funds not used by the account end date will revert to the College of Liberal Arts and Sciences. This account will show up on faculty reports that are distributed so that faculty are aware of all activity in their account.

Course Buy Outs

Faculty may “buyout” of courses in order to reduce his or her teaching load in return for providing a sum of money to the college. The funds used to procure the buyout originate from an external source (usually a federal granting agency or a foundation). Course reductions associated with funds from an internal program (such as Honors) are not considered buyouts under this policy.

The college treats externally funded, competitively awarded fellowships (Fulbrights, Sloans, NEH Fellowships) differently than it does buyouts. ([See the policy on such fellowships](#)) Fellowships typically offer a single semester or one full year with no teaching. Buyouts offer individual course reductions as part of a larger, and usually longer term, research project.

Externally Funded Course Buyouts (from Research Grants)

Faculty may use funds from a *research grant* to reduce their teaching load during the academic year provided that the granting agency allows this. The following policies apply to such a situation:

1. A faculty member may not reduce their teaching load by more than half through this process. Under normal circumstances, no more than one course per semester may be bought out; exceptions to this rule require the approval of the Dean. Such approval will be granted when there are compelling reasons for buying out a full semester of teaching; for example, if the research in question is conducted at a field site to which the PI must travel for extended periods during the semester.
2. The buyout reduces the faculty member's teaching responsibilities but does not release them from other departmental responsibilities such as committee service. In particular, faculty members are expected to be in-residence during a semester in which a buyout is

in force unless explicit permission has been granted by the Dean for "compelling reasons" such as those outlined in part (1).

3. The rate for a (single) course buyout is 1/8 of academic year salary for departments with a nominal load of 4 courses (Social Sciences, Humanities, Math, Statistics, Psychology, Linguistics); 1/6 of academic year salary for departments with a nominal load of 3 courses (Chemistry); 1/4 of academic year salary for departments with a nominal load of two courses (Biological Sciences, Marine Sciences, Geosciences, Physics).
4. Twenty-percent of the salary savings resulting from a course buyout using external funds are retained by the College; 80% is returned to the department. ***The department is fully responsible for replacing the PI's teaching obligations from its share of the salary savings. Departments may opt to share savings with the faculty member at their discretion.*** Faculty at regional campuses will follow the same policy with department funds being returned to the regional campus home.
5. All course buyouts require the explicit approval of the department head. The faculty member should consult with his or her department head during the preparation of the grant budget containing a buyout.
6. The PI is responsible for ensuring that sufficient funds are available in the grant as awarded to fully fund any buyouts. The amount of money and the time-effort reported on the grant must be consistent.

(For details on the policies surrounding these buyout/salary saving procedures, see: http://www.clas.uconn.edu/resources/course_buyout_guidelines.html)

Summer Salary

Faculty performing research activities during the summer months (May 23rd through August 22nd), may be paid up to three months compensation (for 9 month appointments). Please note that in no case may a faculty member earn over the course of a year, more than the twelve month equivalent of his/her base annual salary. Requests for summer salary should be submitted to your administrative staff at the end of **February** to allow time for processing.

For additional information, please refer to the University's Extra Compensation for Full-time Faculty in AAUP Policy <http://policy.uconn.edu/?p=366>.

Travel

Pre-trip

- Apply for UCRF/AAUP funding
 - <http://research.uconn.edu/ips/faculty-travel-guidelines>
- Submit a Request for Travel Approval at <http://ta.uconn.edu/>
 - Be sure to include the dates of travel, location, fund source and account number(s), expenses to be covered, and the total anticipated amount of expenditure
 - Personal days should also be listed
 - Travel advances are limited to 75% of estimated costs, excluding those costs that are eligible to be paid directly (such as airfare or conference registration fees).
- Commercial air travel arrangements in one of two ways:
 - Contracted Method

- Ability to make reservations and ticket purchases with one of the University-contracted agencies – requires travel approval form (TA) number, employee number, and KFS account number
 - Non-contracted
 - Travelers make travel arrangements on their own and pay the airline or agency directly
 - Please note: If federal funds (5xxxxxx) will be used for international flight, please refer to rules on U.S. flag carriers (<http://travel.uconn.edu/flyamerica.php>)
- Vehicle rentals
 - Travelers who rent a vehicle for University business should use the University-contracted agency, unless is it less expensive at a competitor

Post Trip

- All original itemized and paid receipts need to be submitted within 2 weeks of returning from trip – include any award letters from additional funding
 - Reimbursements 60 days after travel is complete will not be paid without Department Head, Director, or Dean approval
 - Photocopies or facsimiles are not considered original receipts and travelers must substantiate photocopies by including an Exception to Policy Form, signed by the appropriate Dean, Vice President, or Provost
- Travel reimbursement form needs to be completed and then signed by the traveler

Meals

- Reimbursement for actual meal costs may not exceed the allowable daily per diem rate
- Travelers are not entitled to a meal per diem allowance for meals that are included as part of the conference registration fee
 - A copy of the agenda and conference registration receipt must be included with the reimbursement request

Mileage

- Travelers will not receive reimbursement for travel from their home to their official duty station
 - Day of the week does not make a difference – weekend mileage will be treated just like weekday travel

Purchasing

The University has strict policies and procedures for purchasing and has 4 main ways that purchases can be made. Whenever possible, purchases should be made by the University on your behalf as opposed to incurring an out of pocket expense. When in doubt, please consult your Department Administrator or the CLAS Business Service Center (BSC) reasonably far in advance to ensure the proper purchasing method is used.

Pro-card

The University Purchasing Card is a tax exempt credit card used to create a more efficient purchasing process. Holders of the procurement card are specifically delegated and are required to go through training with Purchasing department. Within your specific department there may

be a few administrative staff that are delegated card holders that can assist faculty members with purchases.

There are many benefits to the procurement card:

- Items that are purchased are delivered much quicker
- Workload time can be reduced versus using university system
- Use for items lower than \$4,999.99
- One monthly statement to reconcile at a time.

The items that a card holder is able to purchase with a procurement card need to be for University business only. Any personal items are not allowed along with any vendors that are located on Husky Buy. There is a list of specific purchases that are non-allowable per University policy. This is located at the following link:

<http://www.purchasing.uconn.edu/purchasingcard/users.html#restricted>. Purchases that are allowable with the University procurement card can be viewed at the following link: <http://www.purchasing.uconn.edu/purchasingcard/users.html#approved>.

There is a \$4,999.99 limit per item and a \$10,000 monthly limit for purchases.

- Typical items include:
 - Conference registration
 - Subscriptions
 - General office/lab supplies
 - Food for business purposes (take out only)
 - Software

The process of requesting purchases through the procurement card would be to submit any invoices, details, and account information related to your purchase to your administrative staff for your respective departments. The administrative staff will then make the purchase at point of sale, online, through fax, or over the phone. The payment will be made and the item will be given at point of sale or delivered to the University. Receipts will be given to the administrative staff and they will then handle their allocation process on a routine basis.

More information about the procurement card is available by the following link provided:

<http://www.purchasing.uconn.edu/purchasingcard/users.html>. Be sure to consult with your administrative faculty about any other questions you may have.

B0-46

- This is a form that can be used for purchases at the University of Connecticut Co-op which charges items directly to a KFS account.
- It should be filled out by your Department Administrator in advance of the purchase and brought to the Co-op. The Co-op will fill the order and give you a copy which you must return to you Department Administrator.
- Please note not all items at the Co-op are eligible for this purchasing method, please visit: <http://web.uconn.edu/acctpay/coop.html> for more details. Additionally the University will not reimburse out of pocket expenses from the Co-op so this form, a Procard or a Purchase Order should be used.

Purchase Order (PO)

- A PO should be established for purchases above \$2,000 or when an actual amount is uncertain but may exceed this limit.
- If a PO is to be used, it must always be approved prior to the services being rendered or goods being received.
- To obtain a PO please contact your Department Admin or the BSC.
- A quote from the vendor is required in order to establish a PO.
- Typical purchases on POs are:
 - Computers
 - Equipment
 - Catering \$2,000 < \$10,000

Direct Vendor Payment

- A Disbursement Voucher is an electronic document in Quali (KFS) that can be entered by your Department Administrator or the BSC to make eligible purchases **up to a maximum of \$2,000**. Typical purchases include:
 - Subscriptions
 - Memberships
 - Dues
 - Catering
 - Vendor must agree to be paid after services are rendered.
 - Personal Services
 - Personal services on a one-shot, one occasion basis that do not require a contract. Typical services include:
 - Guest Lecturers
 - Speakers
 - Consultants
 - For more detailed information on payments for personal services please visit: http://web.uconn.edu/acctpay/pp_ser.html

Out of pocket

Out of pocket expenses are emergency allowable purchases made by university faculty under \$499. These purchases must be for University use only and this process may only be used when other ways of purchasing and reimbursement are not viable.

Some instances of out of pocket reimbursements are:

- Supplies needed for research
- Emergency repairs
- Entertainment of guests to the university where attendees do not solely consist of University employees
- Sales tax paid out of pocket will not be reimbursed if charged to a grant/contract (5/6-L) account.

There are also instances and items in which out of pocket expenses cannot be reimbursed, examples of this include:

- Books purchased through the co-op
- Personal items.

There is also a specific list on the Purchasing Department website that lists all the non-allowable items. This list is located at the following link: http://web.uconn.edu/acctpay/pp_outpocket.html.

When you get to the point of making an out of pocket purchase be sure to receive the full itemized receipt. This documentation will then be given to the administrative staff member of your department who will complete a disbursement voucher.

Any out of pocket expenses made during travel dates of a faculty member will need to be kept together (with itemized receipts) and given to your administrative staff member for a reimbursement to be initiated.

Subject/Participant Incentives

If your research requires payments for Subject/Participant Incentives, please be sure to contact your department administrator or the BSC in order to receive a cash advance for these expenditures. It is also important to have any IRB or other approvals in order before seeking any type of advance.

Hiring Students

Students make up a large portion of the University work force. When starting the process for hiring students the first step would be to acquire all the necessary information about the job. This would include the type of position it is and the classification. Positions can include research, administration, maintenance, athletics, etc. Within the position there are different levels and pay rates that correspond. Information about pay rates, job descriptions and classifications is available at the following link:

http://financialaid.uconn.edu/EmpGuide:Employment_Guide#Student_Payrolls.

The next step would be to post job advertisements on the student employment website under JobX (please work with your department admin to post a position). If you are rehiring student employees, advertising is not needed. Once a candidate has been chosen for the position and the student has accepted, processing of payroll authorization is required. Before authorizations can be entered, required paperwork needs to be submitted by the student to the Office of student financial Aid Services – Student Employment (or your departmental administrators if required as a part of departmental internal process) no later than the 1st day of employment:

- I-9s
- W-4s
- Original unexpired documents showing identity and eligibility of employment
 - A list of forms and documents as well as acceptable identity documents are located at the following links, respectively:
<http://financialaid.uconn.edu/StuEmp:Forms>,
<http://financialaid.uconn.edu/StuEmp:FAQs>.

The next step would be to work with your department administrative assistant to have an authorization entered. Information needed for authorizations include:

- Does the student have work study funds?
- Funding source (KFS Account #)
- start/end date
- Hourly pay rate

Work Study:

Effective August 23, 2013, hiring departments and/or faculty will need to cover 25% of work study student costs for the students they hire. The remaining 75% will continue to be covered by Federal money. For FY14 only, CLAS departments and Faculty will only need to cover 5% of the 25% of the work study costs. Beyond FY14, we will be responsible for the full 25%. Please note that federally funded grants cannot be used to pay this cost. Please work with your departmental staff and the CLAS Business Services Center in order to assign accounts for these costs to be reallocated to.

Grants and Contracts ManagementPreaward

The Grants and Contracts Specialist will assist the faculty Principal Investigator (PI) in preparing a budget, internal forms and the proposal application itself. The Grants and Contracts Specialist will work directly with the PI and the Office for Sponsored Program's Grants Manager to ensure the proposal application adheres to University and Sponsor's policies, guidelines, and deadlines.

Postaward

The University is required to comply with numerous regulations issued by the sponsor. It is necessary to ensure that expenditures, whether they are related to personnel, equipment, supplies or other categories, are properly allocated to the various grants and contracts. The University recognizes the importance of minimizing the administrative burden on the faculty and encourages the use of departmental administrative staff in carrying out routine administrative activities related to grants and contract management, such as ordering supplies, processing salary distributions, travel expenses, re-budgets and cost transfers. At the same time, the nature of the sponsored project support is such that grant and contract administration cannot be performed without the guidance and oversight of the faculty/investigator. The investigator best understands the scope of the project, the effort committed to it by faculty and staff, and the relationship of that project to other projects with which resources may be shared.

CLAS Grants and Contract Specialists:

Chemistry – Laura Corrigan, 486-0499

Marine Sciences – Elise Hayes, 405-9085

Psychology – Thakane Molapo-Quarshie, 486-0562

Gisele Russo, 486-6705

All Other Departments – Allison Goldsnider, 486-6772

Faculty development:

For University-wide Research Support and Internal Funding Programs:

<http://research.uconn.edu/ips>, with links to: Faculty Travel Funding, Faculty Large Grants, Faculty Small Grants, Interdisciplinary Colloquia/Seminar Program, Guest Professorship

For Research Support from the College of Liberal Arts and Sciences:

Competitively Awarded, Externally Funded Fellowships

<https://uconnclas-departmentheads.pbworks.com/w/page/23554866/Policy%20on%20Competitively%20Awarded%20Externally%20Funded%20Fellowships>

Course Buyouts:

<https://uconnclas-departmentheads.pbworks.com/w/page/23521732/Revised%20Course%20Buyout%20Guidelines>

Funding for Speakers, Seminars, and Other Special Programs:

<https://uconnclas-departmentheads.pbworks.com/w/page/197238/Requesting%20Funding%20from%20the%20CLAS%20Dean%27s%20Office>

Book Support:

<https://uconnclas-departmentheads.pbworks.com/w/page/29632328/Book%20Support>

Matching Funds for Research Grants:

<https://uconnclas-departmentheads.pbworks.com/w/page/26615195/Research%20Support%20from%20the%20CLAS%20Dean%27s%20Office>

Humanities Institute:

<http://web2.uconn.edu/uchi/home.php>

see “Fellowship Opportunities” and “Funding Support for Conferences, Study Group, and Colloquia”.

Fund for Interdisciplinary Research Endeavors (FIRE):

Contact the Executive Council of *El Instituto*: Institute for Latina/o, Latin American, and Caribbean Studies, Institute for African American Studies, the Asian American Studies Institute, and Women’s, Gender, and Sexuality Studies.

For Teaching Development:

Institute of Teaching and Learning: <http://itlweb.uconn.edu/DSIR/>

Instructional Resource Center: <http://irc.uconn.edu/>

Faculty Development Programs: <http://fdp.uconn.edu/>

Instructional Design & Development: <http://itl.uconn.edu/idd/online.htm>

For Personal Development:

http://clas.uconn.edu/resources/CLAS_Work_Life.html

<http://worklife.uconn.edu>

<http://hr.uconn.edu>

Updates

For changes and updates to the above mentioned policies, please reference web sources provided for up to date information.

Other Helpful Links/Resources:

CLAS BSC: <http://bsc.clas.uconn.edu/index.php>

CLAS BSC Auto report examples: <http://bsc.clas.uconn.edu/reports.php>

Purchasing: <http://www.purchasing.uconn.edu/>

Restricted Procard Purchases:

<http://www.purchasing.uconn.edu/purchasingcard/users.html#restricted>

Out of Pocket Purchases: http://web.uconn.edu/acctpay/pp_outpocket.html

Travel: <http://web.uconn.edu/travel/>

Faculty Travel Funding: <http://research.uconn.edu/ips/faculty-travel-guidelines>

OSP: <http://osp.uconn.edu/>

Parental Leave and Tenure Clock Extensions: <https://uconnclas-departmentheads.pbworks.com/w/page/28542575/CLAS%20Implementation%20of%20University%20Policies%20on%20Parental%20Leave>

Sabbatical Leave Requests: <https://uconnclas-departmentheads.pbworks.com/w/page/47872845/Requesting%20a%20Sabbatical%20Leave%20in%20CLAS>

Faculty Consulting:

<http://consulting.uconn.edu/>

Faculty Travel:

<http://provost.uconn.edu/travel-information-for-faculty/>

By-Laws of the University of Connecticut:

<http://policy.uconn.edu/?p=122>

By-Laws, Rules, and Regulations of the University Senate: <http://policy.uconn.edu/?p=304>