

Subject: Budget and Operating Policies and Procedures for the AY 2022-23 (effective August 18, 2022)

Dear all,

This document provides an overview of DOF office budget policies and procedures (applicable to operating budgets, endowments, and gift accounts) as well as some operating reminders for this AY 2022-23. This document also contains information related to the College's [COVID-19 Readiness and Operations Plan](#) for this Fall 2022. Some policies and procedures may be revised as we continue to move through the global COVID-19 pandemic.

Here are some changes from previous practices to note:

- **Section A.6. College's alcohol policy.** New DOF policy on alcohol purchases for any event attended by students: all purchases of alcohol from College funds must be approved by the appropriate member of senior staff or their approved delegate, unless the purchase pertains to faculty travel. DOF will neither pay nor reimburse alcohol purchases for any event attended by students.
- **Section A.7. On-campus speakers.** New business office forms related to foreign national speakers physically on campus (Clinton, NY) or anywhere within the U.S are required.
- **Section D. Student Employees.** DOF now only approves student employees if utilizing DOF managed funds.
- **Section F. Payment and Reimbursement Processes Related to DOF Managed Funds.** Effective immediately, the online invoice payments and check requests funded by DOF should be routed to Tom D'Onofrio and not Linda Michels for approval.
- **Section G. Hiring Individuals as Independent Contractors (Consultants).** New DOF procedure when hiring an individual as an independent contractor.
- **Section H. The Role of the Administrative Office Assistant (AOA).** New resource page created by AOA group that contains a depository of information from frequently used forms and reports to handbooks, guides, and policies.

A. General Budget Guidelines

While the DOF office expects business to continue operating as close to normal as possible this academic year, there are a few budget reminders listed below.

1. **Purchasing & Procurement of Goods and Services:** The College has a few methods for faculty to purchase goods or procure services. Faculty may use a department [corporate card](#) or payment link ([invoice form](#) for vendors or [check request](#) for employee reimbursements or individuals) to make small dollar purchases up to \$1,500, but must use a purchase order for larger purchases more than \$1,500.

To create a purchase order, please complete the [purchase requisition form](#) and have it signed by the department head or other authorized individual and email to Jennifer Mayer (Jmayer@hamilton.edu) in Auxiliary Services. For orders that are financed through either a start-up fund or an endowment, please complete the requisition form and email to Nicolas de la Riva (mdelariv@hamilton.edu), who will then work with Auxiliary Services to create a PO. All submissions must include the requisition form and relevant supporting documentation (i.e. the vendor quote and contract, if available). Note to ensure the College's financial and legal interests, Auxiliary Services will need a few weeks to review the contract terms so please plan accordingly.

Please see section **G. Hiring Individuals as Independent Contractors (Consultants)** for professional services such as translations, guest artists, and some publication services.

2. **Travel:** Both domestic and international travel will be approved using Hamilton funding this AY 2022-23. In addition, faculty may continue to attend a conference virtually. To request funding for any travel plans, please submit through the [faculty travel authorization form](#). The DOF office will fund one conference per faculty member and a second if funds are available. Preference will be given to faculty who are presenting their scholarly work.
 - a. A similar policy applies to students who wish to attend a conference either in person or virtually to present their scholarly work with a \$500 maximum from the DOF general student travel budget.
 - b. Those planning to travel are reminded to follow CDC guidelines for either [domestic](#) or [international](#) destinations. All vaccinated travelers, including faculty and students, are strongly encouraged to take a COVID-19 test before returning to campus. Please consult the [Operating Plan for Fall 2022](#) for additional information on obtaining tests as well as isolation and quarantine requirements per New York State.
 - c. Please reference the College's [travel policies](#) for information related to air fare, lodging (including sales tax exemption in NY and several other states), meals, exchange rates for foreign travel, and other allowable expenses paid by the College.
 - d. All travel expenses are processed through the [travel reimbursement form](#).
3. **Off-Campus events:** Field trips or other off-campus events are permitted. Please submit a request through the [field trip and excursion form](#).
4. **On-campus gatherings** are permitted at this time with no limits on gathering sizes, but event organizers or the College may impose limits and mask restrictions.
5. **Student entertainment funds** are available for faculty to use this academic year.
6. **College's alcohol policy:** Unless such a purchase pertains to employee travel on college business, all purchases of alcohol from College funds must be approved by the appropriate member of senior staff or their approved delegate. Furthermore, the DOF will neither pay nor reimburse alcohol purchases for any event attended by students. This includes the DOF's centralized funds for entertaining students in the fall and spring semesters. However, departments, programs, and support services within academic affairs may use their respective operating budget entertainment lines to purchase alcohol, but are limited to serve one drink per student who are 21 or older. The aforementioned guidelines do

not apply to alcohol purchases that are funded by offices outside of Academic Affairs; those purchases must be approved by the respective senior staff member per the [College's alcohol policy](#).

7. **On-campus speakers** will be allowed with a modest honoraria. The DOF office expects all on-campus speakers to be fully vaccinated and boosted (when eligible) against COVID-19. The sponsoring faculty member is responsible for verifying vaccination status of visitors. If an invited speaker is not fully vaccinated or boosted, please contact your Associate Dean. To request funding, please submit through the [public speaker form](#). No honoraria will be paid without advanced approval. Any speaker whether U.S. or foreign national who participates on campus or virtually while physically in the U.S. is subject to tax withholding and reporting. A foreign national is required to fill out a W-8 form for payments while [physically in the U.S.](#) If the individual wants to seek a tax exemption, the individual must complete form 8233. The sponsoring faculty member is encouraged to use the checklist to ensure required actions are completed to issue the payment.

Honorarium payments to foreign nationals or speakers who participate from abroad (not in the U.S.) are not subject to U.S. tax. For payments to foreign speakers not in the U.S., please submit a [check request form](#) and attach the appropriate statement from the list below:

- [Foreign source statement \(individual\)](#); or
- [Foreign source statement \(corporations & other entities\)](#).

B. Faculty Searches: Tenure-Track, Renewable, and Leave Replacements

Faculty searches approved for a July 1, 2023 start date will continue with national searches. Candidates invited to campus for an interview should be made aware of our current COVID-19 restrictions including [vaccination requirements for visitors](#).

C. Technology Needs for the Classroom & Research

If faculty need classroom technology and AV support for in person teaching in the Fall, please reach out to Abbi Brancy with the Audio Visual Services team (atushing@hamilton.edu).

Professorship and Startup funds may be used to purchase IT for research purposes. Technology purchases for research need approval through the DOF using the [Research Request Form](#) and for computers, tablets, or iPads a [Computer Purchase Form](#). Faculty should not buy equipment on their own (if they expect reimbursement).

Departments should both review the [LITS policy/checklist](#) and consult with DOF before purchasing any new information system, software, or service. It is essential to consult with both DOF and LITS to ensure information security, accessibility, and legal requirements are vetted.

D. Student Employees

Students may be employed at the College starting in the Fall semester. All student employees, including research and teaching assistants, need approval through the department chair when utilizing the department's operating budget. Supervisors should complete and send the [employment authorization spreadsheet](#) to Anna Moskal in HR (amoskal@hamilton.edu) and copy their chair and AOA. Supervisors no longer need to copy the DOF. However, when hiring student employees through DOF managed funds, the supervisor needs to complete and send the [employment authorization spreadsheet](#) to Nicolas de la Riva in DOF (mdelariv@hamilton.edu) for approval who will then share it with Anna Moskal in HR. The spreadsheet replaces the previously used Employment Authorization Form. Note that students must be in the system prior to commencing work. HR will work directly with students to ensure all paperwork is completed. Please refer to the [student employment and payroll procedures](#) for additional information such as determining pay rates and approving timesheets.

E. Outside Service Providers

Contractors, vendors, and service providers who are faculty/student facing are required to be vaccinated when on campus and/or in buildings for work. Unvaccinated providers may not enter campus buildings and should wear a mask whenever they are within six feet of others outdoors. Unvaccinated providers that must enter buildings for any reason must receive prior approval from your Associate Dean. Please contact your ADOF (Nathan or Penny), if an outside service provider is unvaccinated and needs to access an academic building.

F. Payment and Reimbursement Processes Related to DOF Managed Funds

Payments to vendors and reimbursements to faculty are processed through electronic links. The business office does not accept paper copies of payment and reimbursement requests. Please use the [invoice payment form](#) when you are submitting an invoice provided by a vendor. Please use the [check request form](#) for payments such as honorariums or employee reimbursements. If you need assistance with completing any of the electronic links, please reach out to your academic office assistant or refer to [Frequently asked Questions](#).

Generally, all invoice payments, check requests, or travel reimbursements that are funded through DOF and less than or equal to \$5,000 should be submitted to Thomas D'Onofrio for approval. Please refer to annex 1 which identifies the approver when submitting a payment or reimbursement for many expense types (including student entertainment, speaker-related expenses, recruitment, and faculty travel). Prior approval is needed from the respective ADOF before utilizing DOF managed funds, including start-up funds and endowed professorships. Whereas, prior approval is needed from the respective Chair before utilizing operating budgets managed by the department.

Please note that the College's fiscal year begins July 1 and ends June 30. All reimbursement requests and receipts must be submitted to the DOF in a timely manner throughout the academic year. This is particularly important when we approach year-end deadlines. If requests are received after mid-July, the business office will post the expense in the subsequent fiscal year.

For additional information related to budget policies and procedures, please reference the ["DOF Guide for Budget Managers & Administrators"](#) that can also be found under the [handbooks & guidelines](#) section on the DOF webpage.

G. Hiring Individuals as Independent Contractors (Consultants)

Per IRS tax laws, it is critical that faculty and staff correctly determine whether to hire an individual as either an employee or independent contractor (consultant) when either provides a service to the college.

The hiring supervisor is responsible for completing the following steps when procuring an individual's services.

1. Complete the [independent contractor checklist](#). Upon review, the supervisor will be informed to hire the individual as either an employee or independent contractor.
2. If the individual is hired as a consultant, the supervisor works with the individual to draft a service agreement which outlines the services to be performed, compensation, and contact information. Then the supervisor sends the draft agreement to Nicolas de la Riva for review with Auxiliary Services who will also determine whether the consultant needs to meet any insurance requirements based on services rendered. **Note that the agreement needs to be fully signed before any work commences. In addition, the agreement is signed by the Dean of the Faculty office on behalf of the college.**
3. If the individual should be hired as an employee, please consult with Nicolas for next steps.

H. The Role of the Administrative Office Assistant (AOA)

The AOA plays a crucial role in the smooth operation of every department. Furthermore, the AOAs are a rich resource for all faculty and are knowledgeable about the College's policies and procedures. Please visit the [AOA resource page](#) for a depository of information from frequently used forms and reports to handbooks, guides, and policies.

Annex 1 - Who Should Approve an Invoice Payment, a Check Request, or a Travel Reimbursement (“the expense”)

Approver Thomas D’Onofrio	Approver Chair or Director	Approver Jeff Ritchie	Approver Kelly Walton	Approver Nicolas de la Riva
<ul style="list-style-type: none"> • If the expense is funded through the DOF office by <ul style="list-style-type: none"> ➤ an endowment, OR ➤ a professorship, OR ➤ a DOF centralized operating budget; AND is for <ul style="list-style-type: none"> ➤ faculty/student travel; OR ➤ faculty research; OR ➤ student entertainment; OR ➤ guest speakers; AND less than or equal to \$5,000. • If more than \$5,000, the approval should go to Nicolas de la Riva. 	<ul style="list-style-type: none"> • If the expense is funded by your department’s operating budget; AND less than or equal to \$10,000. • If more than \$10,000, the approval should go to Nicolas de la Riva. • If you are the chair or director, the approval should go to Nicolas de la Riva irrespective of amount. 	<ul style="list-style-type: none"> • If the expense is funded by a grant irrespective of amount. 	<ul style="list-style-type: none"> • If the expense is for job searches or recruitments and funded by the DOF office irrespective of amount. 	<ul style="list-style-type: none"> • If the expense is funded through a startup irrespective of amount.