Deans, Department Chairs and Directors
Informational Session

February 26, 2015

8:00-8:30AM – Event Registration and Refreshments
8:30-11:00AM – Informational Session (with break)
11:00AM-12:00 noon – Question and Answer
Purpose

To provide Deans, Department Chairs and Directors with valuable information from the Vice President for Administration, Vice President for Research, Financial Services & Operations, and Office of Institutional Equity areas.

To enhance participants University knowledge of various areas and services, and provide professional development to Deans, Department Chairs and Directors all in support of Goal #1 of Michigan Tech’s strategic plan:

“An exceptional and diverse community of students, faculty, and staff.”
Today’s Agenda

- Human Resources
- Business Operations
- Facilities Management
- Office of Institutional Equity
- Innovation and Industry Engagement
- Research Development
- Compliance, Integrity, and Safety
- Sponsored Operations Office & Institutional Development & Analysis
- Sponsored Programs Office & Sponsored Programs Accounting
- Financial Services and Operations & Budget and Planning Office
Human Resources

Renee Hiller, Director
Catherine Burns, Manager Staff Employment
Renee Ozanich, Manager Academic Employment
Human Resources

- Staff Employment Services
- Benefit Services
- Academic Employment Services
- Payroll Services
- HR Information Systems
Employment Services Representatives

• Each department on campus has an Employment Services Representative who will work with the department for all hiring and employment needs.

• Representatives include:
  – Renee Hiller (President's Office)
  – Catherine Burns (VP for Research & VP for Administration)
  – Abbi Halkola (Provost and VP for Academic Affairs & VP for Government Relations)
  – Heidi Reid (VP for Student Affairs & Advancement)
  – Renee Ozanich (All Faculty & Postdoctoral Research Fellows)
Staff Employment Services

What We Do

• Staff Hiring, Employee Status Changes, & Processing
  – Staff (Union & Non-Union)
  – Short-Term/Casual Employees

• Orientation, Probation, and Performance Management Process

• Classification (Exempt/Non-Exempt) and Compensation

• Independent Contractors

For specific questions, please contact Staff Employment at 487-2280.
10 Steps of Hiring

Staff Hiring Process

The following steps are hiring guidelines provided by Human Resources (HR) Employment Services and the Office of Institutional Equity (OIE). Click on each step below for more information. Note: Instructions on the new electronic processes in PeopleAdmin (PA) are noted below in each step with the following heading in red text, “PA Process.”

Staff Process Checklist

01 Complete the Position Authorization Form
02 Develop the Job Description
03 Guidelines for the composition of the search committee
04 Advertising
05 Equal Employment Opportunity Self Disclosure Form For Staff
06 Review Applicant Materials
07 Interview Process
08 Reference checks
09 Candidate Selection
10 New Employee Completed Legal Paperwork
Employment Forms

Most Commonly Used

- Employee Status Change Form
- Position Authorization Form
- Short Term/Casual/Seasonal Employment Authorization Form
- Employee Personnel Action Form (EPAF)
- Non-Union Bonus Request Form
- UAW Bonus Request Form
Fair Labor Standards Act (FLSA) Classification Definitions

• For most employees, whether they are exempt or non-exempt is determined by specific guidelines established by the U.S. Department of Labor and is defined by:
  – What kind of work they do
  – How much they are paid

• Exempt employees are not paid overtime

• Overtime pay is due to all non-exempt employees

• Classification is reviewed by your Employment Services Representative in conjunction with your department and is based on the position description and requirements.
New Employee Orientation

• New employees will complete Employee Orientation in Human Resources on or before their first day of work.
  – Departments or employees should call 7-2280 to make an appointment to ensure Employment staff are available to assist them.

• New Employee Orientation Includes:
  – Completing new hire paperwork
  – Reviewing benefit packages overview to assist in making benefit selections
  – Delivering important information such as their Michigan Tech M# and user ID

• Departments are encouraged to provide departmental orientation to successfully on-board new employees.
  – Orientation Checklist
Employment Relationship

• At-Will vs. Satisfaction (applies to non-union staff employees)
  – Regular employees choose one of these options at time of hire.
  – “At-Will” means that the employment can be terminated at any time, with or without cause, with or without notice.
  – “Satisfaction” means that the employee performs to the satisfaction of the employer, and has the ability to arbitrate if involuntarily separated from University.
  – At-Will or Satisfaction status of an employee is not known by the supervisor, and shouldn’t impact how an employee is treated on a day to day basis.
Probation

• Probation Timelines
  – Exempt/Non-Exempt (Non-Union) - 270 Days (9 months)
  – AFSCME - 120 Days (4 months)
  – POA - 270 Days (9 months)
  – UAW - 90 Days (3 months)

• Probation Process
  – Submit (3) progress reports to Human Resources
  – Prevent completion by default

For specific questions, please contact your Employment Services Representative at 487-2280.
Independent Contractors

• An individual or sole proprietor who is contracted to perform work for the university utilizing their own methods.
  – The independent contractor is normally engaged in an established business, trade or profession, and does not already have an employment relationship with Michigan Tech.

• For questions contact:
  Ginger Sleeman
  Executive Assistant
  Human Resources
  glsleema@mtu.edu
  487-2800
Labor Relations Overview

- **AFSCME** (American Federation of State, County, and Municipal Employees)
- **POA** (Police Officers Association)
- **UAW** (United Auto Workers)
- Grievance Process
- For union resources, please visit: [www.mtu.edu/hr/current/union](http://www.mtu.edu/hr/current/union)
University and Departmental Training

• University required training (all employees)
  – Employee Safety Overview
  – Anti-harassment/Discrimination/Retaliation
  – Data Security

• Job/Department Specific Training
  – Conflict of Interest
  – Human Subject
  – Animal Research
  – Biosafety Training
  – Bloodborne Pathogen
  – Other

• Other training
  – Supervisor Training (3 part series)
  – Staff Search Committee Certification
Employee Complaint Process

- Complaint process for non-union staff positions
  - Purpose of Policy
  - Who It Applies To

- Six Steps
  1. Employee works with Supervisor: If unable to resolve, then…
  2. Employee works with Next Highest in Chain of Command: If unable to resolve, then…
  3. Employee contacts Executive Team Member.
  4. Executive Team Member consults with Director of Human Resources and possibly appoints review committee.
  5. If applicable, committee reviews and recommends action.
  6. Executive Team Member reviews recommendation and issues a decision.

For policy information please visit www.admin.mtu.edu/admin/policy/pers/6013.htm.
Employee Discipline

• Discipline
  – Progressive
    • What is this?
    • Does it have to be?
  – Reasons

Discipline/Discharge of Employees
It is occasionally necessary for the University to discipline, suspend, and/or discharge an employee. Reasons for discipline, up to and possibly including immediate termination include, but are not limited to:
• violation of University or departmental rules/conduct
• failure to properly perform assignments as determined by the University
• poor performance
• dishonesty
• theft (including the theft of such University resources as computer time)
• drinking alcoholic beverages on the job
• use of drugs in violation of the Controlled Substance Act
• insubordination
• conduct unbecoming a University employee

Since situations vary, supervisors must consult with the Director of Human Resources prior to initiating any disciplinary action, including suspension and/or termination. The Director of Human Resources will assist the supervisor to ensure the consistent interpretation of current policies, procedures, contractual obligations and/or precedents set by the University.
Employee Discipline

Steps:

1. Supervisor contacts Employment Rep/Director of HR

2. They discuss steps in discipline considering:
   a. Severity
   b. Frequency
   c. Previous discussions with employee

3. Together they develop a plan for discipline
   a. Informal vs formal
   b. Talking points for conversation
   c. Issues, Expectations and Consequences (“ICE”)

4. Supervisor delivers message to employee
   a. Document meeting and talking points
   b. Send any talking points, letters or documents of meeting to Human Resources
- The Performance Management Process is designed for non-union staff positions.
- Competencies will be utilized for Performance Management and in job descriptions.
- Student Affairs and Advancement currently transitioning to the Performance Management Process.
- Full University participation in the Performance Management Process is planned for 2015-16.

http://www.mtu.edu/hr/current/performance/
Performance Management Cycle

Performance Planning

Continuous Coaching
- Mentoring Leadership Supervision

Mid-Year Status Check-in

Self-Assessment prior to Year-End Review

Year-End Review
Benefit Services

What We Do

- Medical Plans, Retirement, Life and Disability
- Wellness Programs
- Benefit Orientation, Benefit Exit Meeting
- Affordable Care Act

- Leaves of Absence
- Workers’ Compensation
- Time Off Policies
- Student Health Insurance
- Employee Assistance Program

For specific questions, please contact Benefit Services at 487-2517 or benefits@mtu.edu.
Workers’ Compensation

All injuries or incidents occurring at work need to be reported.

Supervisor Responsibilities:
• Record incident information on the Incident and Injury Report Form

Benefit Services Responsibilities:
• File a claim with the state
• Work with the employee to obtain necessary medical information
• Notify employee of FMLA
• Obtain return to work authorizations
• Communicate with employee and supervisor
Types of Leaves

- **Paid Leaves**
  - Vacation ([http://www.mtu.edu/hr/current/benefits/docs/vacation-accrual.pdf](http://www.mtu.edu/hr/current/benefits/docs/vacation-accrual.pdf))
  - Sick Leave
  - Maternity Leave
  - Short Term Disability
  - Sabbatical Leave

- **Unpaid Leaves**
  - Some Medical Leaves
  - Personal Leave
  - Professional Development Leave
  - Entrepreneurial Leave
  - Military Leave

[http://www.mtu.edu/hr/current/benefits/docs/leave-timeoff-policy.pdf](http://www.mtu.edu/hr/current/benefits/docs/leave-timeoff-policy.pdf)
Leave of Absence Process

Employee submits written request for leave to supervisor

Supervisor completes Status Change Form (gold) with 2-deep signature

Documents (& other pertinent info) sent to Human Resources

Approval from Benefit Services sent to employee; copied to supervisor

Follow up or extension requests forwarded to Human Resources
Academic Employment Services

What We Do

• Faculty (tenure track and non tenure track), and Postdoc Hiring, Employee Status Changes, & Processing
• Promotion & Tenure, Faculty Appointment Review
• Summer Teaching, Research & Service
• Immigration Services

For specific questions, please contact Academic Employment at 487-2280.
10 steps –
• Completing the Position Authorization Form (Blue form)
• Forming a Diverse Search Committee & Completing the Advertisement & Committee Approval Form
• Preparing Job Posting/Advertising
• Collecting Equal Employment Opportunity Self Disclosure Form
• Reviewing Applicant Materials
• Narrowing the Applicant Pool & Non Selection, Completing the Interview Approval Form
• Communicating with Reference Providers
• Completing the Candidate Selection, Electronic Flow Log and Candidate Selection Form
• Compiling paperwork after offer is accepted
• Scheduling to do New Employment Paperwork with Human Resources
PeopleAdmin Online Applicant System

- 14 faculty positions have been posted since August of 2014
- 1,270 people have applied to these positions
- Office of Institutional Equity (OIE) reporting numbers
- Reporting
  - Departmental Equal Employment Opportunity (EEO) Report
  - Applicant Flow Log Report
Faculty Appointment Forms

Most Commonly Used

- Position Authorization Form (Blue Form)
- Faculty Appointment Recommendation Form (Form A)
- Employee Status Change Form (Gold Form)
- Bonus Request Form
- Employee Personnel Action Form (EPAF)
## Schedule of Administrative Deadlines

### Faculty Contract Start and End Dates

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<tbody>
<tr>
<td><strong>Fall Semester</strong></td>
<td></td>
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<tr>
<td>Faculty Contract Start Date</td>
<td>August 18, 2014</td>
<td>August 17, 2015</td>
<td>August 15, 2016</td>
<td>August 14, 2017</td>
<td>August 20, 2018</td>
<td>August 19, 2019</td>
<td>August 17, 2020</td>
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<tr>
<td><strong>Spring Semester</strong></td>
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<tr>
<td><strong>Summer Semester</strong></td>
<td>(14 weeks)</td>
<td>(14 weeks)</td>
<td>(14 weeks)</td>
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For more information, visit [www.mtu.edu/hr/current/docs/faculty-appt.pdf](http://www.mtu.edu/hr/current/docs/faculty-appt.pdf)
Criteria for Tenure

• Each academic unit defines its internal procedures for formulating tenure, promotion, and reappointment recommendations. Such procedures are part of the academic unit’s charter and must be consistent with the policies and procedures of the university.

• A faculty member holding the academic rank of Assistant Professor, Associate Professor, or Professor, and with an appointment of 75% of full time or greater is eligible for tenure, provided the applicable letter of appointment specifies the position as “tenure-track.”

• Each department or school is responsible for defining the procedures it will use within the unit to formulate tenure, promotion, and reappointment recommendations.

• Link to Tenure, Promotion, & Reappointment Procedures: http://www.admin.mtu.edu/admin/prov/facbook/appi/iapp.htm
# Tenure Process Example

<table>
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<tr>
<th>Appointments</th>
<th>Dates</th>
<th>Review Type</th>
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<tbody>
<tr>
<td>Initial 2-year</td>
<td>2014-15</td>
<td>Interim Review</td>
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<td>appointment</td>
<td>2015-16</td>
<td>Major Review</td>
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<tr>
<td>Second 2-year</td>
<td>2016-17</td>
<td>Interim Review</td>
</tr>
<tr>
<td>appointment</td>
<td>2017-18</td>
<td>Major Review</td>
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<tr>
<td>Third 2-year</td>
<td>2018-19</td>
<td>Interim Review</td>
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<tr>
<td>appointment</td>
<td>2019-20</td>
<td>Mandatory Tenure Review</td>
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<tr>
<td>Effective</td>
<td>2020-21</td>
<td>Tenure as Associate Professor</td>
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</table>
Non Tenure Track Appointments

Non Tenure Track Ranks
- Instructor
- Research Faculty
- Adjunct Faculty
- Visiting Faculty
- Lecturer
- Senior Lecturer
- Principle Lecturer
- Professor of Practice

Reviews/Promotion
- Promotion to Lecturer or Senior Lecturer;
  [http://www.admin.mtu.edu/admin/prov/facbook/appL/Lapp.htm](http://www.admin.mtu.edu/admin/prov/facbook/appL/Lapp.htm)
- Annual Review of All Other Non Tenure Track Appointments
Immigration Services
Michigan Technological University
Human Resources Department
Academic Employment Services/Immigration Services

Typical Timeline for H1B Visa

Case Initiation
6-8 weeks
Offer Letter signed by employee and received in Human Resources
Immigration & Visa Services request documentation from employee

Document Collection
17-20 business days
Submit Labor Condition Application (LCA 9035) with U. S. Dept. of Labor (approval in 7 business days)
Public Posting (10 business days)

H1B Submission
1-Day
Human Resources sends petition to U. S. Citizenship and Immigration Services

Adjudication
15 days* to 5 months
Employee and Department Chair informed

Fees

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<th>Service</th>
<th>Fee</th>
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<tr>
<td>Filling</td>
<td>$325</td>
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<tr>
<td>New H1B (fraud check)</td>
<td>$500</td>
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<tr>
<td>*Premium Processing</td>
<td>$1,225</td>
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<tr>
<td>H4 Dependent(s)</td>
<td>$290</td>
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</tbody>
</table>

Checks made out to: “U. S. Department of Homeland Security”

Questions? Please, call us at (906) 487-2280 / Fax number (906) 487-3220
Last updated: January 13, 2014
Michigan Technological University
Human Resources Department
Academic Employment Services/Immigration Services

Typical Timeline for I-140

Case Initiation
28 - 30 weeks
Prevailing Wage Determination (LCA 9141)
(5-6 weeks - 2 months)
Submit Permanent Employment Certification (LCA 9089) with U. S. Dept. of Labor
(24 weeks - 6 months)

Document Collection
6 - 8 weeks
Immigration & Visa Services request documentation from employee
Department submits check request for filing fees

I-140 Submission
1-Day
Human Resources sends petition to U. S. Citizenship and Immigration Services

Adjudication
15 business days* to 5 months
Employee and Department Chair/Dean informed

Fees
Filing $580
*Premium Processing $1,225
Check is made out to “U. S. Department of Homeland Security”

Questions? Please call us at (906) 487-2280 / Fax number (906) 487-3220
Last updated: October 29, 2014
Green Card Petition

Once the I-140 is approved and a visa number is available you can apply on Form I-485 (application to Register Permanent Residence or Adjust Status to become a permanent resident). Below is a typical timeline of this process:

1. Immigration & Visa Services meet with employee and collect supporting evidence to file petition
2. Schedule appointment with Civil Surgeon (nearest one is in Marquette, MI)

Attend Biometrics Appointment (Milwaukee, WI)

Travel Parole and Employment Authorization Cards arrive in the mail

Employee receive permanent residency card in the mail and provide a copy to Human Resources Department
H1B – Non-Immigrant Temporary Employment Work Visa

Department Financial Responsibility
Initial US Government Filing Fee = $825
Extension US Government Filing Fee = $325

Employee Financial Responsibility
Premium Processing = $1,225 (optional)
Costs for dependents = $290 (if needed)

I-140 – Immigrant Petition

Department Financial Responsibility
Initial US Government Filing Fee = $580

Employee Financial Responsibility
Premium Processing = $1,225 (optional)
Costs for dependents = $290 (if needed)

I-485 – Adjustment of Status Form

Department Financial Responsibility
None

Employee Financial Responsibility
US Government Filing fee = $1,070
US Application for Employment = $380
US Government Filing Fee = $360
Payroll Services

What We Do

- Payroll Tax
- Voluntary/Involuntary Deductions
- Student Employment
- Insurance Premiums
- Direct Deposits
- Issuing W-2 Forms

- Labor Reallocations
- Leave Adjustments
- Bi-Weekly Process
- Web Time Entry
- Off-Cycle

For specific questions, please contact Payroll Services at 487-2130.
About HRIS

- Support for Banner and Banner related applications and other online processes
  - Electronic Personnel Actions Forms (EPAF); Banweb (Employee Self Service), People Admin, Benefit Open Enrollment, etc.
- Data Requests (files, reports, mass emails, etc)
- Access to Banner and Banner related applications
- Assistance with employee ISO userid and passwords
Business Operations

Ann Kitalong-Will, Executive Director
What Does BusOps Do?
Collaborations & Connections

- University Policy Office
- Activity Insight (aka Faculty Activity Reporting System (FARS) or “Digital Measures”)
- University Health & Safety (Physical/Mechanical)
- WorkLife Programming
- Operational Communication Services
- Administrative Support
- Special Projects
- Training/Professional Development
University Policy Office

Board Policy
http://www.admin.mtu.edu/admin/boc/policy/

University Policy
www.mtu.edu/policy

University Senate
http://www.mtu.edu/senate

Business Operations – Lakeshore Center – 487-2437
Our University Policy
We support shared governance by making policies accessible to Michigan Technological University's campus community, ensuring the policy development and maintenance process is efficient and transparent, and fostering collaboration from all parts of the university community.

Repository and Definitive Source
The University Policy Office website is Michigan Tech's:
- official repository for University-wide policies, and
- definitive source for the most current University system-wide policies.

Policies duplicated on other websites or in print may not be the most current version.

The official policies and procedures of Michigan Tech clarify the institution's expectations of its faculty, staff, students, and campus visitors. Michigan Tech reserves the right to make changes at any time.
Activity Insight
(aka “Digital Measures” or “FARS”)

Managed collaboratively for Office of Provost/VP for Academic Affairs:

• Business Operations – training, documentation, report & screen customizations

• Administration IT – technical management, Banner data loads, troubleshooting, technical support

Used by Michigan Tech, and its Colleges, Schools and Departments:

• Reporting on faculty accomplishments
• Meeting required data reports for accreditation
• Producing annual reports
• Individual tenure and promotion reviews
• Annual faculty reviews
Activity Insight
dm-admin@mtu.edu

Banner

Sponsored Research

Intellectual Property

Faculty Entry

Business Operations – Lakeshore Center – 487-2437
Advocating for and supporting the University’s safety culture:

- Collaborating with Occupational Health & Safety Office (OSHS)
- Performing building and grounds inspections
- Following up on incidents and accidents
- Enhancing processes to identify and collect safety metrics
- Providing and/or facilitating safety training
- Arranging for fire extinguisher inspections
- Consulting on safety with departments in areas of responsibility
- Serving on University safety committees and councils
WorkLife Programming
WorkLife Programming Advisory Committee

“Supporting harmony between our work and our home lives within the Michigan Tech community.”

- Assessment – data collection, benchmarking, surveys
- Family care issues – childcare, elder/dependent care
- IT/Computing – understanding IT needs from work-life perspective
- Mentoring – helping faculty, staff, and students grow in careers
- Policies – reviewing and proposing policies to support work-life connections

Business Operations – Lakeshore Center – 487-2437
WorkLife Programming
WorkLife Programming Advisory Committee

Summer 2014 – initial assessment

AY2014-15 – understanding the landscape
- Hosting Coffee Chat: February 26th, 3:30-4:30PM
- Conducting survey
- Holding focus group discussions
- Assisting with ADVANCE grant efforts
- Collaborating with Mindfulness Committee
- Testing potential programming
- Updating the old website
Facilities Management

Kerri Sleeman, Executive Director of Facilities Management
Gregg Richards, Director of Engineering Services
Facilities Management

What We Do

- Central Receiving
- Custodial and Maintenance Services
- Energy Management
- Engineering Services
- Facilities Safety Management
- Husky Motors
- Transportation Services
Need to know items

- Capital Project Process
- Work Requests
- Central Receiving

When in doubt, check the website: [http://www.mtu.edu/facilities/](http://www.mtu.edu/facilities/)
Capital Project Process

How to kick off a project?

Visit our website at:
www.mtu.edu/facilities
Capital Project Process

The 3 step process flow:

Project Request Procedure

If you are thinking about a project that involves maintenance, remodeling, additions, land acquisition, utilities, landscaping, equipment, telecommunications, or sitework, please follow the process outlined below to help make it a reality.

Step 1. The Client Project Request is the first step and should be done at the project idea stage. This brings the correct University entities into the discussion.

↓

Step 2. For any project over $50,000, the Engineering Services team will guide you through the Preliminary Estimate Request form. This amount is inclusive of all pieces of the project including IT, furniture, outside design costs, etc. Not over $50,000? The Engineering Services team will develop an estimate with you.

↓

Step 3. Once funding has been identified for any project over $50,000, the Engineering Services Team will guide you through the Capital Project Planning form. Not over $50,000? You can simply identify the funding source to your project Engineer and let them know you want to move forward.

↓

+++ Victory! +++ - your project is about to become a reality!

*There may be Board of Control approval needed at certain cost levels; your Engineering Services team member will guide you through this as needed.
Capital Project Process

**Step 1: The Client Project Request (CPR) Form**

The CPR form is where we gather information to help guide you.
Capital Project Process

**Step 2: The Estimate.**
The Preliminary Estimate Request (PER) form is needed if the project is going to be over $50,000; if not, an estimate is provided without needing the PER.
Capital Project Process

Step 3: Identifying funding and moving forward.

The Capital Project Planning (CPP) form is needed if the project is over $50,000; if not, then simply give the Engineer the go ahead and provide the funding account(s).
Work Requests

- Submit a work request for custodial, heating, maintenance, grounds, or moving needs.

- For Facilities Emergency’s use the Facility Emergency phone line, 487-0001, available 24 hours a day every day of the week.
Central Receiving

- Packages are delivered within two business days after receipt, unless they are designated as overnight delivery, which are delivered the day of receipt.

- If they are not able to be delivered in that time frame, you will be notified as such.

- Packages that are undeliverable due to an incomplete address will be listed at: http://www.mtu.edu/umc/services/mail/undeliverable/
Break
Office of Institutional Equity

Jill Hodges, Director
Institutional Equity

Jill Hodges PhD, Director
Beth Lunde, Associate Director & Title IX Coordinator
Valerie Holzberger, Coordinator
Michele Wirtanen, Administrative Aide
Susan Sullivan, Office Assistant
What We Do

- Address issues of harassment/discrimination based on protected class
  - A protected class is identified by the characteristic that the people within the class share, such as race or religion. A protected class is a group that is protected from employment discrimination by law. These groups include race, religion, color, national origin, age, sex, sexual orientation, gender identity, height, weight, genetic information, or marital status, disability, or veteran status.
What We Do

• Ensure equity in the hiring process
• American Disabilities Act (ADA)
• Assess and investigate complaints and concerns regarding discrimination, harassment, ADA and Title IX
• University Diversity
• Title IX
Title IX

- Title IX of the Education Amendments of 1972 protects all of us from discrimination based on sex in education programs and activities that receive federal financial assistance.

- All deans, directors, and supervisors are mandatory reporters and must be trained for Title IX.
Title IX

- Under Title IX, discrimination on the basis of sex/gender for students and employees can include:
  - Gender Based Discrimination
  - Sexual Harassment
  - Sexual Violence
  - Discrimination Based on Pregnancy
Definitions

- Gender/Identity Discrimination
  - Discrimination and harassment on the basis of a person’s gender/gender identity.

- Sexual Harassment
  - Is defined by law and includes unwelcome conduct of a sexual nature. It includes sexual advances, requests for special favors, and other verbal or physical conduct of the sexual nature.

- Sexual Violence/Sexual Misconduct
  - Sexual violence is defined as any physical act which is sexual in nature that is committed by force or without the full and informed consent of all persons involved. May include but not limited to dating/relationship violence, sexual coercion, domestic violence, sexual battery, stalking, sexual assault, and rape.
We Will Help

When a complaint is brought forward, we promptly investigate and take immediate steps to….

• Stop the harassment
• Remedy the effects upon the victim and community
• Prevent its recurrence
• Provide support/resources to all parties involved

Retaliation is not acceptable.
Title IX Coordinators

- For Faculty, Staff and Visitors/University Title IX Coordinator:
  Beth Lunde, Institutional Equity Administration and Student Services Bldg. Room 306
  (906) 487-3310, blunde@mtu.edu or titleix@mtu.edu

- For Athletics:
  Suzanne Sanregret, Athletics & Recreation Student Development Complex, Room 239A
  (906) 487-3070, srsanreg@mtu.edu
Title IX Coordinators

• For Students:

Kirsti Arko, Deputy Title IX Coordinator, Career Services Administration Bldg, Room 220H
(906)487-2314, karko@mtu.edu

Joseph Cooper, Deputy Title IX Coordinator, Student Activities Memorial Union Bldg, Room 112
(906) 487-1963, jjcooper@mtu.edu
Resources for Title IX

- Emergency – 911
- Private
- Title IX Coordinator Beth Lunde – titleix@mtu.edu
- Public Safety and Police Services
- Academic and Community Conduct (students)
- Anonymous TipLine www.mtu.edu/tips
- Human Resources
- Local Health Care
- Confidential
- Counseling Services (students)
- Dial Help
- Barbara Kettle Gundlach Shelter
- Employee Assistance Program (employees)
- Online
- Michigan Tech Title IX Webpage
- Michigan Tech App – Just in Case
- Notalone.gov

For specific questions, please contact the Office of Institutional Equity at 487-3310.
Vice President for Research
Innovation & Industry Engagement (IIE)

Jim Baker, Executive Director Innovation & Industry Engagement
Mike Morley, Manager, Tech Marketing, Innovation & Industry Engagement

For specific questions, please contact Jim Baker at 487-2228 or jrbaker@mtu.edu.
http://www.mtu.edu/research/administration/iie/
Technology Commercialization Fundamentals

- Primary Contact
  - Mike Morley (mcmorley@mtu.edu or 7-3485)

- Faculty Fellow for Technology Commercialization
  - Yoke Khin Yap (ykyap@mtu.edu or 7-2900)
Technology Commercialization Fundamentals

• Commercialization is a process that is complementary to conventional academic research objectives and practices
  – Commercialization requires effort beyond discovery which creates opportunities for funding including support of graduate student, post-doc, and faculty effort which result in publications and other academic researcher performance metrics.

• Michigan Tech employs a stage-gate process for assessment and commercialization planning that systematically follows the path from discovery to commercial implementation. Process document and flow chart available and being posted online.
Confidentiality and Nondisclosure Agreements

• Agreements need to be reviewed and signed by authorized University representative
  – Robin Kolehmainen (rakolehm@mtu.edu 487-1927 primary contact)
  – Individuals who sign agreements on their own behalf are individually liable for consequences of the obligations they accept without University approval.

• Contract negotiation principles:
  – Respect reasonable proprietary interests of sponsors and collaborators.
  – Protect rights for publication, following reasonable review and approval processes.
  – Protect rights for continued research within the field.
  – Comply with University, State and Federal policies and legal requirements.
IIE – Industry Relations

Brent Burns, Director of Industry Relations
Beth Hoy, Assistant Director of Operations & Industry Outreach
Working with Industry Sponsors

• Industry Relations Team (IRT)
  – Attend advisory board meetings – determine dept., needs and opportunities
  – Understand business cycle and funding streams
  – Build deeper relationships
  – Facilitate connections
  – Market alignment – don’t undersell, target the market

• Mutual Benefit
  – Not philanthropic – competitive advantage
  – Investment in something tangible – talent, research, technology
  – Industry partner – Solve a real problem
  – University – Resources
Industry Relations Team Overview

• Frame the Engagement: Recruit, Research, License, and Learn

• Building Relationships
  – Broad Impacts
  – Visits
  – Communication

• Brent Burns, Director
  – bburns@mtu.edu
  – 487-3674
Research Development
Research Integrity, Compliance & Safety
Sponsored Operations Office
Institutional Systems Development & Analysis

Pete Larsen, Director Research Development
Research Development

• **Who we are**
  – Peter Larsen, Jodi Lehman, Jessica Brassard, & Natasha Chopp
  – Report to the Vice President for Research
  – Goal: enhance Michigan Tech’s competitiveness for external research funding

• **What we do**
  – Planning/development of strategy for external funding
  – Funding searches, tools, networking opportunities
  – Assisting faculty, staff, and graduate students with proposal development, including graduate fellowship proposals
  – Providing internal proposal review, editing, samples
Foundation Relations

- Efforts related to foundation relations at Michigan Tech are coordinated by the office of Research Development

- Goal: Manage relationships for coordinated and unified university image

- To achieve this, we treat most foundations like limited submission proposal opportunities

- Notification form to initiate an opportunity: [http://www.admin.mtu.edu/research/sprot/forms/foundations_proposal_internal_notification.html](http://www.admin.mtu.edu/research/sprot/forms/foundations_proposal_internal_notification.html)
Support for Early-Career Faculty

- Visits with faculty at the candidate stage to discuss research at Michigan Tech
- One-on-one assistance with development of research strategy plan
- Assistance with finding funding. Information available online on Research Office’s training website.
- Proposal development assistance, samples, critical feedback
- Annual early-career research development workshop
- Annual trip to Washington, D.C. for agency engagement
Compliance, Integrity, and Safety

• Safety
  – Promote positive safety culture which will have a profound effect
  – Promote familiarity with safe work practices
  – Notice common safety hazards and comment on them
  – Ask employee’s to contact Department Safety Liaison or Occupational Safety for any conflict resolution regarding safety issues

For specific questions, please contact Joanne Polzien at 487-2909 or jpolzien@mtu.edu. http://www.mtu.edu/research/administration/integrity-compliance/
Compliance, Integrity, and Safety

• Responsible Conduct of Research (RCR)
  – Mandated with the America Competes Act
  – Broadened to provide learning opportunities for responsible, ethical, and effective scholarship University wide
  – All graduate students must complete basic & advance RCR to graduate
  – Post Docs take one of the offered courses or participate as facilitator or speaker
  – Centrally Michigan Tech offers UN0500-Effective Scholarship
  – Other approved courses offered by other departments
  – More Information @ http://www.mtu.edu/research/administration/integrity-compliance/responsible-conduct/

For specific questions, please contact Joanne Polzien at 487-2909 or jpolzien@mtu.edu. http://www.mtu.edu/research/administration/integrity-compliance/
Sponsored Operations Office

• Research Data

• Accounting for Space, People, Indexes, Research, and Equipment (ASPIRE) Forecasting

For specific questions, please contact Gina LeMay at 487-3170 or gllemay@mtu.edu, or Jake Manchester at 487-3170 or jmanches@mtu.edu.
Institutional Systems Development & Analysis

For specific questions, please contact Mike Hendricks at 487-2155 or mfhendri@mtu.edu.
Sponsored Programs Office (SPO)
Innovation & Industry Engagement (IIE)
Sponsored Programs Accounting (SPA)

Pete Larsen, Director Research Development
Tammy LaBissoniere, Associate Director Sponsored Programs Accounting
Lisa Jukkala, Assistant Director Sponsored Programs Office
Fiscal Responsibilities – Sponsored Projects

- SPO/IIE
  - Negotiate terms and conditions relating to budgets, indirect costs, and other University policies
  - Develop and/or approve project budgets prior to transmission to sponsor
  - Recommend acceptance of awards on behalf of the University
  - Develop and negotiate sub-awards
  - Negotiate, authorize, review, and process contract/grant modifications
  - Maintain proposal and award database
  - Authorize account establishment
  - File intellectual property and sub-award interim and close-out documents
Fiscal Responsibilities – Sponsored Projects continued

• SPA
  – Establish budget and index number in the accounting system
  – Review and monitor project expenditures and reallocations, in accordance with University Policies and Procedures, Federal Regulations, and project specific terms & conditions.
  – Prepare and submit sponsor’s financial reports and invoices
  – Collect sponsor’s outstanding receivables due to Michigan Tech
  – Develop and prepare financial reports due to sponsors
  – Assist principal investigators in the financial closeout sponsored projects
  – Generate, distribute and collects Project Payroll Certifications documents (PPCDs)
  – Prepares and submit appropriate close-out documents
  – Coordinate audits conducted by external and internal auditors
Fiscal Responsibilities – Sponsored Projects continued

- Department Chair or School Dean
  - Approve departmental cost-share
  - Responsible for cost-share shortfalls, both cash and third party in-kind
  - Oversee the project administration by principal investigator
  - Participate in resolution when technical reports are incomplete or deliverables are unacceptable to sponsor
  - Responsible for costs incurred in excess of the award amount and for disallowed unauthorized expenditures
  - Approve substantial modifications or re-budgeting
  - Participate in the collection and funding of outstanding receivables from research sponsors
  - Assist in the collection of Project Payroll Certification Document
Fiscal Responsibilities – Sponsored Projects continued

- College or School Dean
  - Approve college-level cost-share
  - Participate in resolution when technical reports are incomplete or deliverables are unacceptable to sponsor
  - Approve substantial modifications or re-budgeting (including transfers)
  - Participate in the collection and funding of outstanding receivables from research sponsors
Proposal Processing/Submission

• Internal Proposal Submission Deadline

• Transmittal Sheet

• Proposal Compliance Review

For specific questions, please contact Lisa Jukkala at 487-2226 or [lajukkal@mtu.edu](mailto:lajukkal@mtu.edu).
Award Processing

- Negotiating with the Sponsor
- Subawards

For specific questions, please contact Lisa Jukkala at 487-2226 or lajkkal@mtu.edu.
Awards Administration

- PI leaving the university - Matters of Discussion can be found:
  - [http://www.mtu.edu/research/references/pdf/pi-leaving-considerations.pdf](http://www.mtu.edu/research/references/pdf/pi-leaving-considerations.pdf)

- Institutional Research and Development (IRAD)
  - [http://www.mtu.edu/research/references/guidelines-procedures/institutional-research-development.html](http://www.mtu.edu/research/references/guidelines-procedures/institutional-research-development.html)

- Sponsored Funding Bonus (Policy # 2.6010)
  - [http://www.admin.mtu.edu/admin/policy/pers/6010.htm](http://www.admin.mtu.edu/admin/policy/pers/6010.htm)

- Update - Uniform Guidance Updates
  - [http://www.mtu.edu/research/administration/sponsored-programs/ug/](http://www.mtu.edu/research/administration/sponsored-programs/ug/)

- Update - Office of Inspector General Audit on Project Payroll Certification Documents

For specific questions, please contact Tammy LaBissoniere at 487-2244 or [tklabiss@mtu.edu](mailto:tklabiss@mtu.edu).
Upcoming VPR Initiatives

• Electronic Signature for Cost Sharing Forms
• Standard report for College/School/Department Cost Sharing Commitments
Financial Management & Responsibilities
Financial Services and Operations

Suzanne Morin, Controller
Sue Laajala, Director of General & Auxiliary Accounting

Office of Budget and Planning
Debbie Lassila, Executive Director of Budget & Planning
Fiscal Responsibility

- Ensure that university funds are used to advance the mission of the university and the academic needs of the students.

- Ensure that all authorizations or expenditures comply with university expenditure policies as well as with any sponsoring agency or donor restrictions and applicable policies.

- Consider the appropriateness of the expenditure. Should the expense be paid from public funds?

- Fiscal controls must include a system of supervisor checks and balances at all levels of the organization for all expenditures.
Michigan Tech Fund

• Receives, invests, and disburses gifts raised for the University

• Accepts gifts of cash, checks, credit cards, securities, real property, gifts-in-kind, and pledges and planned gifts

• Manages endowment with the help of an investment committee and an investment advisor

• Governed by Board of Directors who sets the investment policy, endowment spending policy, administrative fee structure and advancement budget

For specific questions, please contact Suzanne Morin at 487-1931 or smmorin@mtu.edu.
Michigan Tech Fund

- Fund managers and designees have the ability to run financial reports showing fund balances, revenues, and expenses, and gifts reports showing donors’ names, addresses and gift amounts.

- Types of funds:
  - Demand Funds
  - Quasi-endowed Funds
  - Endowment Funds

- Disbursements are made from MTF funds via check requests -- checks are cut every Wednesday
Balance Sheet
Condensed Statement of Net Position
as of June 30, 2014
(unaudited – in thousands)

<table>
<thead>
<tr>
<th></th>
<th>University</th>
<th>Tech Fund</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current Assets</td>
<td>$25,573</td>
<td>$5,706</td>
<td>$31,279</td>
</tr>
<tr>
<td>Noncurrent Assets:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital Assets, net</td>
<td>246,085</td>
<td>-</td>
<td>246,085</td>
</tr>
<tr>
<td>Other Noncurrent Assets</td>
<td>37,033</td>
<td>122,896</td>
<td>159,929</td>
</tr>
<tr>
<td><strong>TOTAL ASSETS</strong></td>
<td>$308,691</td>
<td>$128,602</td>
<td>$437,293</td>
</tr>
<tr>
<td><strong>LIABILITIES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current Liabilities</td>
<td>$21,537</td>
<td>$786</td>
<td>$22,323</td>
</tr>
<tr>
<td>Noncurrent Liabilities</td>
<td>81,132</td>
<td>4,813</td>
<td>85,945</td>
</tr>
<tr>
<td><strong>TOTAL LIABILITIES</strong></td>
<td>$102,669</td>
<td>$5,599</td>
<td>$108,268</td>
</tr>
<tr>
<td><strong>NET POSITION</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments in capital assets, net of related debt</td>
<td>$164,400</td>
<td>-</td>
<td>$164,400</td>
</tr>
<tr>
<td>Other net position, restricted and unrestricted</td>
<td>41,622</td>
<td>123,003</td>
<td>164,625</td>
</tr>
<tr>
<td><strong>TOTAL NET POSITION</strong></td>
<td>$206,022</td>
<td>$123,003</td>
<td>$329,025</td>
</tr>
<tr>
<td><strong>TOTAL NET POSITION</strong></td>
<td>$308,691</td>
<td>$128,602</td>
<td>$437,293</td>
</tr>
<tr>
<td></td>
<td>Original Projection</td>
<td>June Unaudited</td>
<td></td>
</tr>
<tr>
<td>------------------</td>
<td>----------------------</td>
<td>----------------</td>
<td></td>
</tr>
<tr>
<td>Revenue</td>
<td>$ 261,812</td>
<td>$ 264,898</td>
<td></td>
</tr>
<tr>
<td>Expense</td>
<td>$(261,088)</td>
<td>$(260,972)</td>
<td></td>
</tr>
<tr>
<td>Net Income</td>
<td>$ 724</td>
<td>$ 3,926</td>
<td></td>
</tr>
<tr>
<td>Current Fund Balance</td>
<td>$ 13,919</td>
<td>$ 17,121</td>
<td></td>
</tr>
</tbody>
</table>

Note: Current Fund includes General, Designated, Auxiliary, Retirement and Insurance, and Expendable Restricted Funds.
Statement of Revenues, Expenses and Changes in Net Position by Object  
For the Year Ended June 30, 2014

<table>
<thead>
<tr>
<th>Operating revenues</th>
<th>General</th>
<th>Designated</th>
<th>Auxiliary Activities</th>
<th>Retirement &amp; Insurance</th>
<th>Expendable Restricted</th>
<th>Total Current Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition and fees</td>
<td>$115,888,794</td>
<td>$1,058</td>
<td>$912,212</td>
<td>$</td>
<td>$</td>
<td>$116,802,064</td>
</tr>
<tr>
<td>Grants and contracts</td>
<td>138,105</td>
<td></td>
<td></td>
<td></td>
<td>45,180,940</td>
<td>45,319,045</td>
</tr>
<tr>
<td>Indirect cost recoveries</td>
<td>11,597,063</td>
<td></td>
<td></td>
<td>(11,597,063)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Educational activities</td>
<td>351,077</td>
<td>3,497,882</td>
<td>910,612</td>
<td>169,848</td>
<td>156,364</td>
<td>5,085,783</td>
</tr>
<tr>
<td>Departmental activities</td>
<td>6,883</td>
<td>76,305</td>
<td>9,269,419</td>
<td></td>
<td>29,613</td>
<td>9,382,220</td>
</tr>
<tr>
<td>Student residence fees</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>23,567,437</td>
<td></td>
</tr>
<tr>
<td><strong>Total operating revenues</strong></td>
<td><strong>127,981,922</strong></td>
<td><strong>3,575,245</strong></td>
<td><strong>34,659,680</strong></td>
<td><strong>169,848</strong></td>
<td><strong>33,769,854</strong></td>
<td><strong>200,156,549</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Operating expenses</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and wages</td>
<td>76,218,260</td>
<td>7,796,029</td>
<td>10,160,126</td>
<td>2,013,679</td>
<td>17,093,982</td>
<td>113,282,076</td>
</tr>
<tr>
<td>Fringe benefits</td>
<td>27,278,061</td>
<td>1,750,045</td>
<td>2,797,651</td>
<td>(675,910)</td>
<td>2,740,021</td>
<td>33,889,868</td>
</tr>
<tr>
<td>Supplies and services</td>
<td>17,194,398</td>
<td>9,306,720</td>
<td>12,002,968</td>
<td>921,598</td>
<td>12,429,056</td>
<td>51,855,280</td>
</tr>
<tr>
<td>Student financial support</td>
<td>33,075,905</td>
<td>518,068</td>
<td>346,887</td>
<td></td>
<td>12,839,935</td>
<td>46,780,795</td>
</tr>
<tr>
<td>Utilities</td>
<td>4,242,653</td>
<td>240,244</td>
<td>3,044,399</td>
<td></td>
<td>45,087</td>
<td>7,572,383</td>
</tr>
<tr>
<td><strong>Total operating expenses</strong></td>
<td><strong>158,009,817</strong></td>
<td><strong>19,611,106</strong></td>
<td><strong>28,352,031</strong></td>
<td><strong>2,259,367</strong></td>
<td><strong>45,148,081</strong></td>
<td><strong>253,380,402</strong></td>
</tr>
</tbody>
</table>

| Net transfers in (out)              | (13,542,319)   | 10,187,917     | (8,547,759)          | 1,887,245              | 2,422,802             | (7,592,114)         |

<table>
<thead>
<tr>
<th>Nonoperating revenues</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal grants</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5,715,100</td>
<td>5,715,100</td>
</tr>
<tr>
<td>State appropriations</td>
<td>43,785,501</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>43,785,501</td>
</tr>
<tr>
<td>Gifts</td>
<td>663,166</td>
<td>7,004,147</td>
<td>529,966</td>
<td></td>
<td>4,497,881</td>
<td>12,695,160</td>
</tr>
<tr>
<td>Investment return</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2,519,555</td>
<td>7,404</td>
</tr>
<tr>
<td>Interest expense</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2,526,959</td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td>20,000</td>
<td></td>
<td></td>
<td></td>
<td>20,000</td>
</tr>
<tr>
<td><strong>Total nonoperating revenues</strong></td>
<td><strong>44,448,667</strong></td>
<td><strong>7,024,147</strong></td>
<td><strong>529,966</strong></td>
<td><strong>2,519,555</strong></td>
<td><strong>10,220,385</strong></td>
<td><strong>64,742,720</strong></td>
</tr>
</tbody>
</table>

<p>| Net increase (decrease) in net position | 878,453        | 1,176,203      | (1,710,144)          | 2,317,281              | 1,264,960             | 3,926,753           |
| Net position, beginning of year      | (12,432,030)   | 16,031,437     | 9,599,162            | (2,591,419)            | 2,587,436             | 13,194,586          |
| Net position, end of year            | $ (11,553,577) | $ 17,207,640   | $ 7,889,018          | $ (274,138)            | $ 3,852,396           | $ 17,121,339        |</p>
<table>
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<th>Expendable Restricted</th>
<th>Total Current Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>58,577,540</td>
<td>3,469,903</td>
<td></td>
<td>825,245</td>
<td>175,733</td>
<td>63,048,421</td>
</tr>
<tr>
<td>Research</td>
<td>16,592,164</td>
<td>9,517,568</td>
<td></td>
<td>625,185</td>
<td>27,248,550</td>
<td>53,983,467</td>
</tr>
<tr>
<td>Public service</td>
<td>815,168</td>
<td>1,162,774</td>
<td></td>
<td>75,022</td>
<td>7,218,678</td>
<td>9,271,642</td>
</tr>
<tr>
<td>Academic support</td>
<td>16,911,019</td>
<td>1,404,052</td>
<td></td>
<td>225,067</td>
<td>4,746</td>
<td>18,544,884</td>
</tr>
<tr>
<td>Student services</td>
<td>6,805,185</td>
<td>1,825,509</td>
<td>4,281,853</td>
<td>150,045</td>
<td>173,382</td>
<td>13,235,974</td>
</tr>
<tr>
<td>Institutional support</td>
<td>15,315,666</td>
<td>1,197,238</td>
<td></td>
<td>(369,138)</td>
<td>9,664</td>
<td>16,153,430</td>
</tr>
<tr>
<td>Student financial support</td>
<td>29,955,679</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>40,273,007</td>
</tr>
<tr>
<td>Operations and maintenance of plant</td>
<td>13,037,396</td>
<td>1,034,062</td>
<td></td>
<td></td>
<td>577,896</td>
<td>14,649,354</td>
</tr>
<tr>
<td>Auxiliary enterprises</td>
<td></td>
<td></td>
<td></td>
<td>24,070,178</td>
<td>150,045</td>
<td>24,220,223</td>
</tr>
<tr>
<td><strong>Total operating expenses</strong></td>
<td><strong>158,009,817</strong></td>
<td><strong>19,611,106</strong></td>
<td><strong>28,352,031</strong></td>
<td><strong>2,259,367</strong></td>
<td><strong>45,148,081</strong></td>
<td><strong>253,380,402</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Net transfers in (out)</th>
<th>General</th>
<th>Designated</th>
<th>Auxiliary Activities</th>
<th>Retirement &amp; Insurance</th>
<th>Expendable Restricted</th>
<th>Total Current Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(13,542,319)</td>
<td>10,187,917</td>
<td>(8,547,759)</td>
<td>1,887,245</td>
<td>2,422,802</td>
<td>(7,592,114)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Nonoperating revenues</th>
<th>General</th>
<th>Designated</th>
<th>Auxiliary Activities</th>
<th>Retirement &amp; Insurance</th>
<th>Expendable Restricted</th>
<th>Total Current Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal grants</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>5,715,100</td>
<td>5,715,100</td>
</tr>
<tr>
<td>State appropriations</td>
<td>43,785,501</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>43,785,501</td>
</tr>
<tr>
<td>Gifts</td>
<td>663,166</td>
<td>7,004,147</td>
<td>529,966</td>
<td>-</td>
<td>4,497,881</td>
<td>12,695,160</td>
</tr>
<tr>
<td>Investment return</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>2,519,555</td>
<td>7,404</td>
<td>2,526,959</td>
</tr>
<tr>
<td>Interest expense</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Other</td>
<td>-</td>
<td>20,000</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>20,000</td>
</tr>
<tr>
<td><strong>Total nonoperating revenues</strong></td>
<td><strong>44,448,667</strong></td>
<td><strong>7,024,147</strong></td>
<td><strong>529,966</strong></td>
<td><strong>2,519,555</strong></td>
<td><strong>10,220,385</strong></td>
<td><strong>64,742,720</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Net increase (decrease) in net position</th>
<th>General</th>
<th>Designated</th>
<th>Auxiliary Activities</th>
<th>Retirement &amp; Insurance</th>
<th>Expendable Restricted</th>
<th>Total Current Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>878,453</td>
<td>1,176,203</td>
<td>(1,710,144)</td>
<td>2,317,281</td>
<td>1,264,960</td>
<td>3,926,753</td>
<td></td>
</tr>
<tr>
<td>Net position, beginning of year</td>
<td>(12,432,030)</td>
<td>16,031,437</td>
<td>9,599,162</td>
<td>(2,591,419)</td>
<td>2,587,436</td>
<td>13,194,586</td>
</tr>
<tr>
<td>Net position, end of year</td>
<td>$ (11,553,577)</td>
<td>$ 17,207,640</td>
<td>$ 7,889,018</td>
<td>$ (274,138)</td>
<td>$ 3,852,396</td>
<td>$ 17,121,339</td>
</tr>
</tbody>
</table>
General Fund Carry Forward

- 2.5% of unspent General Fund Balances
- Excluding Fringes, Utilities, & Financial Aid
- Lab Fee Balances Carried Forward in Full
- Balances Roll-up to Vice President/Dean Level
Financial Reports

• E-mailed monthly to financial managers and departmental coordinators
  – Summary
  – Detail
  – Open purchase orders
  – Payroll detail
  – Research Budget vs Actual by Grant
  – Salary & Wage by Anniversary Month

• Finance Self Service – Banweb
  – Available to all financial managers
  – Banner access required
  – Can run reports as needed

For specific questions, please contact Bobbie Dalquist at 487-2239 or rbdalqui@mtu.edu.
Travel

- Expense voucher
  - Submit within two weeks of completion of travel
  - Encourage employees to use the purchasing card

- Dependent Care policy
  - Above and beyond regular dependent care costs
  - Up to $300 per day per trip
  - Taxable
  - Allowable on sponsored project indexes

For specific questions, please contact Sue Laajala at 487-2121 or slaajala@mtu.edu.
International Travel

• Prior to departure:
  – International travel request form
    • Approved by dean/department chair/director
    • Send to Office of Risk Management
  – General Fund – approval of appropriate VP

• Source of currency conversion

• Receipts in foreign languages/currency

For more information about International Travel, please visit: http://www.mtu.edu/fso/financial/travel/international/
Moving Expenses

- Regular, full time employees
- Maximum - up to one month’s salary
- Non-taxable if expenses meet IRS rules
- Taxable expenses – all house hunting and meals incurred during the move
- Reimbursement in calendar year of employment start date
- Temporary living expenses unallowable
- Funding source – General Fund or departmental funds

For more information about University Travel, please visit:  
http://www.mtu.edu/fso/financial/travel/
Purchasing Card Holder Responsibilities

- Retain receipts
- Per item limit is $4,999 including freight
- Reconcile receipts to monthly bill
- Reallocate charges to appropriate index and account code
- Include who/what/where/when on Access Online for travel expenses
- Obtain supervisor’s approval and signature monthly

For specific questions, please contact Ray Lasanen at 487-2510 or relasane@mtu.edu. 
http://www.mtu.edu/fso/financial/purchasing/card/
Purchasing Card Supervisor’s Responsibility

- Cardholder’s supervisor – review monthly credit card statement
  - Valid business expenses
  - Receipts are retained
- If no disputes, sign statement
- If disputes, resolve with cardholder
  - Contact Ray Lasanen/Purchasing if no resolution can be reached
- Supervisor may designate this responsibility
Graduate Support

• Graduate support must be entered into Banner prior to the billing due date to avoid late fees

• Bills are available at least 4 weeks prior to the start of the semester

• Billing due date:
  – Close of business on the Wednesday before classes begin

• Students must confirm their enrollment

For specific questions, please contact Margo O’Brien at 487-2243 or mpobrien@mtu.edu.
Questions

Thank you for coming!