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</table>
1.000

INTRODUCTION
1.000  PRESIDENT’S MESSAGE

**Mission:**  “Educate. Inspire. Connect.”

**Vision:**  Holyoke Community college aspires to be a college of academic excellence known for helping students overcome barriers to success.

**Values:**  Innovation, Collaboration, Kindness, Inclusion, Trust. Kindness, inclusion and trust are the foundation of the work that we do together. Innovation and collaboration enable us to explore and implement the ideas that will shape our future.

**Student Experience:**  Holyoke Community College commits to delivering a transformational student experience characterized by:

- A “connection network” that draws people, services and knowledge together to address students’ fundamental needs and thus ensures their readiness to succeed at HCC
- An affordable, relevant education provided by talented faculty and resulting in career and transfer opportunities that enable students to thrive
- An approach to educating the whole person that continuously meets students where they are – socially, financially, educationally and geographically – and engages them in real-world learning experiences

Holyoke Community College’s faculty and staff are entrusted by the students and the citizens of Massachusetts to perform our duties as efficiently and professionally as possible. It is an obligation that we all share. Holyoke Community College’s faculty, staff, and financial officers are accountable to ensure efficient operations while maintaining uncompromising integrity.

The College’s Internal Control Plan, Internal Control Policy, and Administrative Policies and Procedures Manual form the foundation that ensures the college provides an education in a controlled, accountable, and fiscally responsible manner. These documents are reviewed and updated annually. They are important reference materials to be used by administrators, supervisors, faculty and staff to carry out the college’s mission and fulfill the obligation entrusted to us.

Dr. Christina Royal, Ph.D.
President
1.000 INTRODUCTION

This Administrative Policy and Procedures Manual has been developed to inform departments at Holyoke Community College about policies and procedures related to the development and administration of budgets, the expenditure of funds, use of computers, repairs to the buildings, personnel recruitment, and other administrative procedures. To be compliant with Holyoke Community College’s Internal Control Plan and Internal Control Policy Manual, the policies in this manual must be followed. The procedures and policies in this document and the Internal Control Policy Manual have been created so in order to adhere to the Commonwealth of Massachusetts General Law, Generally Accepted Accounting Principles, and good business practices.

If there are questions about the content or requests for information on other subjects, which might be included in this handbook, please call the Vice President for Administration and Finance's office or the Comptroller. We welcome your comments.

The most recent version of this document is maintained on HCC’s intranet where it may be accessed and utilized by all staff.
1.100

ORGANIZATIONAL CHART
2.000

BUDGETING POLICY
2.100 BUDGETING POLICY
(Internal Control Policy Reference – Chapter 20)

Holyoke Community College has adopted a system for budgeting and allocating resources that allows cost center directors the opportunities to request funds and manage expenditures within their departments. The annual budget cycle is described below:

Strategic Planning
Starting in fiscal year 2018, the College embarked in a strategic planning process that would move the College forward for the next four years. Year Zero was used to align the budgeting process with the strategic plan.

DISCUSS THE PROCESS

May
The College budget is presented to the Board of Trustees’ Audit and Finance Committee for approval to be presented to the full Board of Trustees.

June
The college budget is presented to the full Board of Trustees for approval.

The state’s fiscal year begins on July 1 and ends on June 30. Monies may be allocated to cost centers from both state appropriation and college trust funds. In order to properly close the fiscal year, cost center directors are encouraged to submit all purchase requisitions and place orders by the last Friday in April. All goods and services should be delivered by the last Friday in May and all invoices should be sent to the business office for processing by June 30. Because grant funds have a variety of fiscal year end dates, some exceptions may apply. Also, exceptions are made for programs that run in June. Goods and/or services must be received/rendered no later than June 30 and invoices processed by the end of the second full week of July.

Cost center directors are expected to plan and control their expenditures within budget allocations. During the fiscal year, cost center directors may authorize line item transfers within their own budget ORG(s) using Self-Service Banner Finance. Transfers between budget ORGs within a single Division may be approved by the Division VP and completed by that VP’s staff assistant, or may be approved by the Comptroller or designee, and processed in the Business Office. Transfers between budget ORGs within different Divisions may be approved by the Comptroller or designee and completed in the Business Office. Such requests shall be made by e-mail. All cost center directors and their designees shall have access to the Banner finance system, including Self-Service Banner Finance. Banner provides real time budget information including budgeted funds, expected funds, committed funds and available funds.
3.000

ACCOUNTING
The Chart of Accounts for Holyoke Community College has been established in accordance with guidelines developed by the National Association of College and University Business Officers (NACUBO) and the Co-expenditure Classification established by the Office of the Comptroller, Commonwealth of Massachusetts.

The Business Office under the direction of the Comptroller provides all accounting. The College must comply with all federal and state laws and regulations. An annual audit of funds occurs in addition to random audits performed by various funding agencies. The college complies with Generally Accepted Accounting Principles (GAAP) and with all accounting practices required by the Comptroller of Massachusetts consistent with Massachusetts General Law (M.G.L.).

General ledger numbers are made up of a minimum of eight digits to a maximum of seventeen digits broken into two or four groups. The general ledger utilizes two groups (FUND and ACCOUNT). The revenue and expense subsidiary ledgers utilize all four groups - FUND, ORGANIZATION, ACCOUNT, and PROGRAM CODE – creating the acronym for this series of codes, “FOAP”.

The first group of three to five digits identifies the “fund” or source of funds that need to be accounted for (FUND).

The second group of four to five Alpha/numeric digits identifies the cost center (organizational unit within the college) that is responsible for the fund or portion of the fund (ORGANIZATION or ORG). We may refer to ORGs as “Cost Centers” and vice-versa.

The third group of three to four Alpha/numeric digits identifies the Object Class/Code and Subsidiary that classifies assets, liabilities, net position, and revenue/expense categories (ACCOUNT). Account codes are classified under major headings called Object Classes, and may also be referred to as “Object Codes”.

The fourth group of two to three numeric digits identifies IPEDS functional expense classifications and revenue categories (PROGRAM).

Current detailed lists of each group are available in Banner.
3.200 SUBSIDIARY CODES

The state has adopted a method of categorizing expenditures in different groups or object classes. All object classes are listed below:

Budgets are developed and reported by Object Class and Program Code (IPEDS Functional Expense Classes).

<table>
<thead>
<tr>
<th>Object Classes</th>
</tr>
</thead>
<tbody>
<tr>
<td>AA  Regular Employee Compensation</td>
</tr>
<tr>
<td>BB  Regular Employee Related Expenses</td>
</tr>
<tr>
<td>BL  Regular Employee Related Expenses (housing allowance)</td>
</tr>
<tr>
<td>CL  Special Employees (part-time faculty, interns)</td>
</tr>
<tr>
<td>DD  Pension and Insurance Related Expenditures</td>
</tr>
<tr>
<td>EE  Administrative Expenses</td>
</tr>
<tr>
<td>FF  Facility Operational Supplies and Related Expenses</td>
</tr>
<tr>
<td>GG  Energy Costs and Space Rental Expenses</td>
</tr>
<tr>
<td>HH  Consultant Services</td>
</tr>
<tr>
<td>JJ  Operational Services/Contracted Services</td>
</tr>
<tr>
<td>KK  Equipment Purchases</td>
</tr>
<tr>
<td>LL  Equipment Lease-Purchase, Lease and Rental, Maintenance and Repair</td>
</tr>
<tr>
<td>MM  Purchased Client Human Services and Social Service and Non-Human Services Programs</td>
</tr>
<tr>
<td>NN  Construction and Improvements of Buildings and Maintenance of Infrastructure and Land Acquisition</td>
</tr>
<tr>
<td>RR  Benefit Programs</td>
</tr>
<tr>
<td>SS  Repayment of Loans</td>
</tr>
<tr>
<td>TT  Loans and Special Payments</td>
</tr>
<tr>
<td>UU  Information Technology and Telecommunications</td>
</tr>
</tbody>
</table>
3.300 SUBSIDIARY CODES

Within each, expense object class/code are sub-categorized by subsidiary codes. Each subsidiary code rolls into an Object Class. Subsidiary codes are classified as accounts in Banner, and may also be referred to as account codes. The most current listing is available on-line. For detailed explanation of the subsidiary expenditure codes, please see the Commonwealth of Massachusetts-Office of the Comptroller Expenditure Classification Handbook at ExpenditureClassificationHandbook.

Subsidiary codes are entered on requisitions (see 4.301), Request for Bid (see 4.304), Contract for Services (see 4.307), Purchase Order / Encumbrance Increase Request Form (see 4.311), Direct Payment Request Form (See 4.620).
3.400 DEFINITIONS OF NON-APPROPRIATED FUND TYPES

Government Grants and Contracts

This category includes:

1. All unrestricted amounts received or made available by grants, contracts, and cooperative agreements from government agencies for current operations;
2. All amounts received or made available through restricted grants, contracts, and cooperative agreements to the extent expended for current operations.

Private Gifts, Grants, and Contracts

This category includes amounts for nongovernmental organizations and individuals, unrestricted as well as restricted gifts, grants, and contracts from nongovernmental sources to the extent expended in the current fiscal year for current operations.

Agency Funds

These funds account for the resources held by the institution as custodian or fiscal agent for individual students, faculty, staff members, and organizations. The assets include cash receivables, temporary investments, and amounts due from other fund groups. The liabilities include accounts payable, amounts due to other fund groups, and the balances owing to individuals and organizations for which the institution is acting as fiscal agent, custodian, or depository.

Trust Funds

As used herein, the term "trust funds" includes the following:

1. Fee-supported funds - These trust funds will receive mandatory tuition and fees collected under the authority of the Board of Trustees and expended for purposes established by the trust document.

2. Scholarship and student support funds - Funds available for the award of student loans and/or scholarships as approved by the trust document.

3. Sales and services of auxiliary enterprises - An auxiliary enterprise is an entity that exists to furnish goods or services to students, faculty, or staff, and that charges a fee directly related to, although not necessarily equal to, the cost of the goods or services. The general public incidentally may be served by some auxiliary enterprises.

4. General Trust Funds - Trust funds established under the authority of the Board of Trustees for the support of a variety of College activities.
CLASSIFICATION OF TRUST FUNDS

The following trust funds exist at Holyoke Community College:

General Operating Trust Fund

The purpose of the Trust Fund shall be to receive monies derived from the collection of student fees and charges, other charges related to College operations, interest earned and other investment income, and to expend there from the funds necessary to support activities related to the College’s general operation.

Restricted and Sponsored Activities Trust Fund

The purpose of the Trust fund shall be to receive monies derived from the collection of gifts made to the College for specific purposes, grants to the institution from public or private sources, and all other monies which have a use restricted by the donor/grantor, and to expend there from the funds necessary to support activities in accordance with the terms of the gift or grant related to restricted and sponsored activities.

Auxiliary Enterprises Trust Fund

The purpose of the Trust Fund shall be to receive monies derived from the provision and sale of goods and services directly related to the educational mission of the institution, but auxiliary thereto, and to expend there from the funds necessary to support the operation of those auxiliary enterprises.
I. Overview

In accordance with Chapter 15a of the Massachusetts General Laws, the Board of Trustees (Board) of Holyoke Community College has the authority to manage locally held funds that are not appropriated by the state legislature or derived from U.S. federal sources. The purpose of this Investment Policy Statement is to set forth the policies and procedures that shall guide the Board, the Audit and Finance Committee, and the College’s Administration in supervising and monitoring designated investible assets.

II. General Principles

The principal objectives of the investment policy are:

Safety: Investment transactions shall be made in a manner to ensure the preservation of capital and safety of principal in the overall portfolio. The objective will be to minimize credit and interest rate risks. The College will minimize Concentration of Credit Risk, which is the risk of loss attributed to the magnitude of the College's investment in a single issuer, by diversifying the investment portfolio so that the impact of potential losses from any one type of security or issuer will be minimized. The College will minimize Custodial Credit Risk, which is the risk of loss due to the failure of the security issuer or backer, by; limiting investments to the types of securities listed in Permitted Investments Section of this Investment Policy; and by pre-qualifying the financial institutions, broker/dealers, intermediaries and advisors with which the College will do business.

Liquidity and Market Risk: Investments shall be made to assure that funds are available as required through cash flow projections to maintain adequate liquidity. The College will minimize Market Risk, which is the risk that the market value of securities in the portfolio will fall due to changes in interest rates and economic conditions, by; structuring the investment portfolio so that securities mature to meet cash requirements for ongoing operations, thereby avoiding the need to sell securities in the open market; and, investing operating funds primarily in shorter-term securities, liquid asset funds, money market mutual funds, or similar investment pools and limiting the average maturity in accordance with the College's cash requirements.

Return on Investment: The investment portfolio will be designed to earn the maximum rate of return allowed on its investments within the policies imposed by its safety and liquidity objectives, investment strategies for each fund, and all laws and state regulations governing investment of public funds.

Given these objectives, the Board of Trustees will support the investment of trust funds in a variety of vehicles, including bank instruments, equities, bonds, government and commercial paper of high quality and mutual funds. The College’s investible funds shall be managed in accordance with high standards of fiduciary duty and in compliance with applicable laws and regulations, including but not limited to the Uniform Prudent Management of Institutional Funds Act of 2009.

III. Role and Responsibilities

The Audit and Finance Committee of the Board, acting pursuant to this Statement and to instructions from the Board of Trustees, shall have direct responsibility for the oversight and management of the College’s investments and for the establishment of investment policies and procedures.

The Audit and Finance Committee shall, as more fully described herein, manage the College’s investments via a set of asset allocation targets and ranges for the portfolio.
In fulfilling its responsibilities under this Statement, the Audit and Finance Committee shall, among other activities, recommend to the Board of Trustees the hiring and dismissal of investment managers, fiscal agents and other advisors.

Periodic reports, as determined by the Audit and Finance Committee, will be provided to the Audit and Finance Committee by the College’s Vice President of Finance and Administration or designee. The College’s Comptroller shall be responsible to the Audit and Finance Committee for maintaining detailed records of all invested funds, and in concert with the College’s CFO, carry out the investment policies and procedures established by the Board of Trustees and Audit and Finance Committee.

IV. Policy Review

This Statement shall be reviewed annually by the Audit and Finance Committee and any recommendations for changes presented to the Board of Trustees.

V. Investment Policy

A.) Permissible Investments

Equity Securities: The purpose of equity investments, both domestic and international, in the Fund is to provide capital appreciation, growth of income, and current income. This asset class carries the assumption of greater market volatility and increased risk of loss, but also provides a traditional approach to meeting portfolio total return goals. This component includes domestic and international common stocks, American Depository Receipts (ADRs), preferred stocks, and convertible stocks traded on the world’s stock exchanges or over-the-counter markets. Public equity securities shall be restricted to high quality, readily marketable securities of corporations that are traded on the major stock exchanges, including NASDAQ, and have the potential for meeting return targets. Equity holdings must generally represent companies meeting a minimum market capitalization requirement of respective asset class profiles with reasonable market liquidity where customary.

Fixed Income Securities: Domestic and international fixed income investments are intended to provide diversification and a dependable source of current income. Fixed income investments should reduce the overall volatility of the portfolio’s assets and provide a deflation or inflation hedge, where appropriate. The fixed income asset class includes the fixed income markets of the U.S. and the world’s other developed economies. It includes, but is not limited to, U.S. Treasury and government agency bonds, public and private corporate debt, mortgages and asset-backed securities. Also included are money market instruments such as commercial paper, certificates of deposit, time deposits, bankers’ acceptances, repurchase agreements, and U.S. Treasury and agency obligations.

B.) Prohibited Investments

The following type of transactions or securities are prohibited or restricted:

1. Futures Contracts: A futures contract is an agreement calling for a fixed-price, future delivery of standardized securities, usually Treasury and Agency issues.
2. Short Sales: This is the sale of a security that is not owned by the College.
3. Adjusted Trades: This is a method of hiding an investment loss by selling a security at a fictitiously high price from the same dealer.
4. IOs and Po’s: Interest-only (IOs) and Principal-only (POs) are stripped mortgage-backed instruments, because of their extreme price volatility.
5. Residuals: This security is the excess cash flow from a mortgage-backed security after all other payments have been satisfied.
6. **Pair-off.** A pair-off results from the purchase and sale of the same security prior to the settlement date.

7. **Inverse Floaters:** The value of this security moves in the opposite direction of interest rates. Due to its extreme price volatility, these are prohibited securities.

8. **Exotic Derivatives:** Due to the conservative nature of the Cash Management strategy, investment in exotic derivatives is prohibited. Exotic derivatives for purposes of this policy are described as Interest Only Strips (IOs), Principal Only Strips, Inverse Floaters (INFLs), Inverse Interest Only Bonds, Targeted Amortization Class Bonds (TACs), Z-Bond Tranches and Indexed Amortizing Notes (IANs) and any other investments with similar characteristics.

C.) **Authorized Financial Dealers and Institutions**

All financial institutions that desire to become qualified bidders for investment transactions must supply the College with the following:

1. Audited financial statements
2. Statements for the most recent fiscal year.
3. Certification that they have read the College's investment policy and the pertinent state statutes.
5. Proof of State registration, where applicable.

VI. **Diversification and Asset Allocation**

To achieve its investment objective, the investment portfolio shall be divided into two major components: an “Equity Allocation” and a “Fixed Income Allocation.” It should be noted that the division by asset class is to ensure that the overall asset allocation between these two asset classes remains under the regular scrutiny of the Audit and Finance Committee. Over the long run, the allocation between the Equity and the Fixed Income Allocation will be the single most important determination of the portfolio’s investment performance.

For the purposes of asset allocation and investment strategy, the College’s operating cash requirements (Operating Funds) shall be excluded from the annual allocation guidelines and performance targets.

Operating Funds must be identified and distinguished from all other funds available for investment. Operating Funds are defined as those funds which are reasonably expected to be expended during a current budget year.

The portfolio will be diversified both by asset class (e.g., equities, bonds, cash equivalents, alternative assets) and within asset classes (e.g., within equities by economic sector, industry, quality, and size). The purpose of such diversification is to provide reasonable assurance that no single security, class of security, or specific investment style will have a disproportionate impact on the portfolio’s aggregate results.

The purpose of the Equity Allocation is to provide a total return that will provide for growth in principal and current income (along with that from the Fixed Income Allocation) sufficient to support spending requirements, while at the same time increasing the purchasing power of the portfolio’s assets. The Trustees recognize that the pursuit of these long-term objectives entails the assumption of greater variability of the total portfolio’s investment returns (risk), in comparison to more conservative asset allocations, which have lower levels of expected risk and return.

The target allocations and ranges for the portfolio are as follows:

<table>
<thead>
<tr>
<th>Asset Allocation</th>
<th>Lower Limit</th>
<th>Typical Allocation</th>
<th>Upper Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equities</td>
<td>30%</td>
<td>40-60%</td>
<td>70%</td>
</tr>
<tr>
<td>Fixed Income &amp; Equivalents</td>
<td>30%</td>
<td>40-60%</td>
<td>70%</td>
</tr>
</tbody>
</table>

Please refer to the online version of this document as the most up-to-date copy.
The investment performance of the fund will be measured against a blended benchmark using the S&P 500 and Barclays Capital Government/Credit Intermediate Index as the components in relative proportion to the investment.

The Audit and Finance Committee shall establish asset allocation guidelines and performance targets annually and may revise these guidelines more frequently as economic circumstances and conditions dictate.

Rebalancing: The purpose of rebalancing is to maintain the policy asset allocation within the targeted ranges, thereby ensuring that the College’s investment do not incur additional risks as a result of having deviated from the policy. Rebalancing will take place on a portfolio basis to reduce expenses as far as practicable. More frequent tactical rebalancing of asset classes within their ranges will also be permitted in order to take advantage of shorter-term market conditions, as long as such changes or reallocations do not, in the opinion of the Committee, cause undue risk or expense.

VII. Safekeeping and Custody

To protect against potential fraud and embezzlement, the investment assets of Holyoke Community College shall be secured through third-party custody and safekeeping procedures. Bearer instruments shall be held only by book entry or through third-party institutions. All investment officials shall be bonded.

VIII. Conflict of Interest

College funds shall not be invested in any entity in which a member of the Board of Trustees, the President, the Vice President for Administration or the Comptroller, has a financial interest or involvement; provided, however, that such investments may be made if such interest or involvement is disclosed in advance to the Board of Trustees and contemporaneously recorded in the minutes of the Board; and provided further that no member having such an interest or involvement may participate in any particular matter relating to such an investment.

IX. Delegation

The Board, through the Audit and Finance Committee, will, from time to time, establish investment fund ceilings and broad asset allocation guidelines, but hereby delegates to the President or his designee the authority to determine the exact dollar amounts to be invested within those established limits and guidelines.

Approved by HCC Audit and Finance Committee at its 5/27/14 meeting

Please refer to the online version of this document as the most up-to-date copy.
3.600 DEPOSITS:
   (Internal Control Policy Reference – Chapter 3)

Each department that generates cash receipts on a daily basis shall deposit those receipts with Student Account Services each day prior to 4 p.m. Cash, check and credit card receipts (totaling more than $50 [combined]) shall be deposited daily. Receipts totaling less than $50 shall be deposited at least weekly. Each department may keep a cash bag (the amount originally authorized by Comptroller) in a secure location within the respective department. All cash held in departments other than Student Account Services shall be turned in for deposit at the end of each fiscal year. Deposits made to Student Account Services shall be recorded on a Deposit Form (see 3.601)

Students may pay their student bills on the Internet or at the counter in Student Account Services. All payments, collections, and cash handling must be in accordance with the Students Account Cash Payment Procedures located in the Bursar’s office. All checks and cash that are received are placed in a locked cash drawer. Bills that are paid online and at the counter are transacted through level one PCI compliant vendors. All transactions are in accordance with HCC’s IT policies and procedures.
## DEPOSIT FORM

<table>
<thead>
<tr>
<th>Indicate type of Deposit (__)</th>
<th>Payee Name/Payment Description</th>
<th>Amount</th>
<th>Check #</th>
<th>HCC Deposit Account Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check</td>
<td></td>
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<td>CC</td>
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</tbody>
</table>

**Total Deposit:**

**Date Deposit Prepared:**

<table>
<thead>
<tr>
<th>Reason for Deposit:</th>
<th>Depositing Department:</th>
<th>Prepared by (sign here):</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Signature:</td>
<td>Extension:</td>
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<td></td>
<td></td>
<td>Review/Approval (sign here):</td>
<td>Date:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Signature:</td>
<td>Extension:</td>
</tr>
</tbody>
</table>

**Bursar’s Office:**

<table>
<thead>
<tr>
<th>Received/Reviewed by:</th>
<th>Date of Deposit (for accounting use only):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

Original: Bursar’s Office  Copy: Depositor

Last updated: February, 2015

Please refer to the online version of this document as the most up-to-date copy.
4.000

PURCHASING
4.100 PURCHASING POLICY

The primary mission of the Purchasing function at HCC is to procure the highest quality goods and services, in a timely manner, that provides the best value to HCC, and to assure all that the purchasing function is conducted with adherence to HCC policies and applicable federal and state laws.

Holyoke Community College ("HCC" or "the college") operates a centralized purchasing system. Purchasing is a component of the Banner Finance System. When a Purchase Order is issued, an encumbrance is created and reduces the available budget in the general ledger. All cost center directors have access to the Banner system and must verify the available budget before submitting a purchase requisition or ordering goods and services.

Centralized purchasing is the process of managing vendors, collective purchase agreements, and college purchases to obtain the most competitive prices. In addition to ensuring compliance with state law, centralized purchasing enables HCC to consolidate purchases when two or more departments have common requirements for supplies and equipment.

Administrative Purchasing or designee will review all purchase requests, for compliance with applicable laws, regulations, codes, and with the College’s policies and procedures.

The responsibility and authority for purchasing goods and services, and for determining the proper methods of procurement is vested in the Vice President of Administration and Finance. The Comptroller and assigned staff in the Business Office are responsible for monitoring compliance with College policy and procedures.

Unless otherwise provided by College policy, no purchases of goods or services should be binding on the College until a written contract or purchase order is authorized by Administrative Purchasing, or in his/her absence the Vice President of Administration and Finance or Comptroller and issued by the Business Office. A Direct Payment Request Form (see 4.620) must be completed in entirety when an exemption is approved by the Vice President of Administration and Finance or Comptroller.

HCC adheres to the following competitive procurement policy:

1. Purchases of goods or services greater than $10,000, and less than $50,000, which are not obtained from one of the collective purchasing agreements, must have three quotes attached to the requisition or contract for service.

2. Purchases of goods or services greater than $50,000, which are not obtained from one of the collective purchasing agreements, must be competitively bid.

Orders that can be documented as coming from a company that is the only source for the good or service will be exempt from the quote and bid process. The Purchasing Department must sign off on the documentation that supports the sole source designation.

No person is authorized to obligate the College without reserving in advance, sufficient funds to meet the obligation provided; furthermore, the purchases must constitute a proper expenditure. The Business Office approves all purchase documents in advance, to ensure funds are available, before obligating the College to expend funds, other than those mentioned above. If you have a legitimate unforeseeable emergency, contact the Assistant Comptroller or Administrative Purchasing. In certain emergencies, a temporary purchase order will be assigned by either the Comptroller, or Assistant Comptroller, provided all purchasing requirements are met.

Please refer to the online version of this document as the most up-to-date copy.
This policy ensures that the College will not buy anything on any account for which we do not have budgeted funds available to pay the vendor. Compliance with this policy is critical during a fiscal year closing or grant termination.

In regard to purchasing for grants, and the recently updated Uniform Guidance for grants administration, In the Federal Register, https://www.federalregister.gov/articles/2015/09/10/2015-22074/universal-identifier-and-system-of-award-management-corrections(link is external) a second year has been added to the grace period for implementation of the Procurement Standards, 200.317 through 200.326, of the Uniform Guidance (UG). From the summary:

_The Office of Management and Budget (OMB) is correcting the final guidance that appeared in the Federal Register on September 14, 2010 (75 FR 55673) and December 26, 2013 (78 FR 78589). OMB is amending the guidance to make technical corrections where needed. ... Guidance on effective/applicability date is revised to allow a grace period of two fiscal years for non-Federal entities to implement changes to their procurement policies and procedures in accordance with guidance on procurement standards._

For Holyoke Community College, this means implementation is not required until July 1, 2017 and the College elected to delay implementation until July 1, 2017.

HCC adheres to the state of Massachusetts code of ethics. HCC follows and enforces the Commonwealth’s Conflict of Interest Law and Financial Disclosure Law. A contract for the purchase of personal property or for services shall not be awarded to any vendor where the contract would violate the applicable state laws regarding conflicts of interest by elected or appointed public officers. Neither HCC employees, nor their spouses, shall accept gifts or entertainment from College vendors as stipulated by "Conflict of Interest" law, Chapter 268A, Section 3 (b) of the General Laws.
4.101 – NEW VENDORS, VENDOR CHANGES AND VENDOR LINES OF CREDIT

HCC maintains an extensive vendor file in its Banner ERP system against which purchasing may be completed. From time to time, users of the business office require the addition of new vendors. Also, existing vendors may submit modifications to their information in HCC’s vendor file.

Form W-9: a form W-9 is required to be submitted by all new vendors, and by vendors requiring modification to their existing information. Vendors may not be added or modified without this form. All newly submitted forms W-9 are first checked against HCC’s existing Banner vendor file to prevent duplicate vendors in the system.

Verification of W-9 information: unsolicited forms W-9 received from vendors requesting modification to their existing information are verified with a known vendor contact by both e-mail and phone call to validate the accuracy of the submitted information, reducing the chance of fraud.

State Vendor File: for new vendors and vendor changes required in the MMARS system, HCC staff follows the Commonwealth of MA policies and procedures for completing VCC and VCM transactions.

Vendor/Customer File and W-9s

Vendor Lines of Credit: when requesting that a new vendor be added to HCC’s Banner vendor file, often a credit application must be submitted to that vendor in order to be billed for purchases. Only designated business office staff may complete a credit application to a prospective vendor. Credit applications completed by designated business office staff must be approved by the Comptroller, the VP for Finance and Administration, or the President prior to submission to the vendor.
4.102 BIDDING

Holyoke Community College adheres to the state’s competitive procurement standard that for supplies, equipment, and services estimated to cost $50,000 or more, formal written bids are to be obtained prior to purchase. Items and services available on state contracts (see 4.200), Massachusetts Higher Education Consortium, MHEC, contracts (see 4.202), or Educational & Institutional, E & I, contracts (see 4.204) have already been bid and are exempt from this requirement.

A department may draft a Request for Bid for specified goods or service or both. The request may require bidders to provide responses specifying their ability to provide goods or services. A request will assure the following:

1. That the product is available.
2. The model is the most current.
3. The declaration of the F.O.B. point. The F.O.B point is when the title of the goods is passed, and it determines who pays for the shipping. F.O.B. Holyoke is preferred, as the vendor will be responsible if anything is lost, stolen, or damaged.
4. That the vendor's name and address is correct.
5. The cash terms.
6. The product is the best one available for the particular application.
7. That the vendor will accept a contract.
8. The current price of the item.
9. That the vendor’s terms and conditions are advantageous to the College.

When a vendor returns a bid, the vendor is making an offer. If we issue a purchase order, we have accepted the vendor’s offer.

Splitting orders to avoid the quote or bid thresholds is prohibited.

Bid Process Directions:

A. A cost center director should set up a meeting with Administrative Purchasing to discuss the following:
   A. Bid Specifications
   B. The Vendor List
   C. Posting on-line on CommBuys (Commonwealth of Massachusetts Purchasing System). Posting is required for bids valued at $50,000.00 or more, but a bid of any value may be posted.
   D. Public Bid-Opening Date (Generally, 10 business days are allowed for the bid to remain “open”.) This may be lengthened or shortened depending on circumstances: e.g. emergency purchases, complexity of the bid suggests that the responding vendors may need more time.
   E. Review of the bid template.

B. A bid number can be obtained from Purchasing Bookkeeper in the Business Office or Administrative Purchasing.

C. The cost center director completes the Request for quotation form. Bid specifications must be attached to the form. Specifications should be e-mailed to the Administrative Purchasing. The completed form with attached specifications should be sent to Administrative Purchasing who will sign at the Buyer line.

D. Administrative Purchasing attaches the required documents to the bid and mails the bid to vendors listed and posts the bid on CommBuys and the College’s Website.

E. During the two business weeks that the bid is “Open”:
   A. Vendors may ask questions about the bid by phone or e-mail, or
B. Cost Center Director may conduct a “Bidders Conference” at which vendors may ask questions in person and answers are given. Notes and attendance are taken. The questions and answers are recorded and submitted Administrative Purchasing who will post them on CommBuys or the College website, or to the Purchasing Bookkeeper (for in-house bids).

F. Public Bid Openings
   A. All bids are opened on-campus at 11:00am on the posted date at a location to be designated.
   B. Attendance is taken.
   C. Administrative Purchasing, assisted by a witness opens the bids and announces the responses.
   D. Administrative Purchasing prepares a Memorandum form to accompany the bid responses. The bid responses, bid cover sheet, and the memorandum form are given to the cost center director for evaluation.

G. Evaluating the Bid
   A. The Cost Center Director examines the bid responses for completeness (responses contain all required forms) and determines which vendor is the low bidder. If Evaluation Criteria were included in the bid specification, the Cost Center Director (together with a committee, if one is exists), assigns points. The Cost Center Director asks questions of the vendors or calls for demonstrations. The evaluation period may be extended.
   B. The Cost Center Director completes the memo form and attaches a spreadsheet indicating the low to high bids and/or the breakdown of the evaluation criteria points. If the low bidder does not win the bid, a complete explanation for non-award to the low bidder must be included.
   C. The Cost Center Director returns all bid documents to Administrative Purchasing for the award of the bid.

H. Awarding the Bid
   A. Administrative Purchasing reviews the bid documents and awards the bid.
   B. If the bid was for supplies or equipment, the Cost Center completes a Requisition for Supplies and Equipment form noting Bid Number and Bid Name. The form is submitted with a copy of the spreadsheet and/or memorandum from the cost center director to the Vice President for Administration and Finance for his/her approval.
   C. If the bid was for services, upon the approval of the Vice President for Administration and Finance, the cost center director is notified to complete the Holyoke Community College Contract for Services.

I. Posting the Bid
   A. If the bid was posted on CommBuys, the bid award and the contract is posted on the College website.
   B. All bid documents are returned to the respective bid file drawer in the Business Office.
4.103 BLANKET PURCHASE ORDERS:

Blanket purchase orders are used to save time and paperwork for ordering specific, predictable recurring items. Blanket purchase orders may be issued to a vendor and remain available for the duration of the fiscal year or the term of the grant. A department may send a requisition to the Business Office marked blanket purchase order, with a description of the items and the period of time it will cover. Generally a blanket purchase order is not issued to the vendor. If the vendor requires a copy, please note it on the requisition.

A department may request a general encumbrance for miscellaneous items by writing “general encumbrance” on the top of a requisition. The reason and the items that will be purchased with the encumbrance must be written on the requisition. The department’s name should be written in the vendor field.
The Purchasing Agent for the Commonwealth of Massachusetts bids a number of commodities and services on a regular basis. The resulting prices for statewide contracts are available to state agencies, which can place purchase orders directly with vendors without recourse to further bidding. Substantial discounts are offered with these contracts due to the large volume of purchases.

These Contracts are accessible from the Commonwealth of Massachusetts Purchasing System (CommBuys) website at www.commbuys.com. It is worthwhile to consult MHEC contracts (see 4.202), and E. & I. competitively awarded contracts (see 4.204) as well.
The Massachusetts Higher Education Consortium (MHEC), was established as a vehicle to increase the buying power of institutions of higher education in the state. More than 80 institutions of higher education are members.

Contracts to purchase a wide variety of products and services regularly used by educational institutions are put out to bid, usually on an annual basis. For MHEC contracted items, purchase orders of any amount may be placed (within budget) because the bid qualification has been met.

The HCC purchasing department distributes pertinent contracts to individual departments. If you wish to look at a contract you do not have available, call the Director of Business Service, the Purchasing Bookkeeper, or follow the instructions below. When a new MHEC contract is received, the outdated one should be discarded.

MHEC Contracts are available on-line at www.mhec.net. Please contact the Administrative Purchasing for assistance.
4.202 Educational and Institutional Cooperative CONTRACTS

As a member institution of the National Association of Educational Procurement, NAEP, Holyoke Community College is also a member of the Educational and Institutional Cooperative, (E & I), allowing us to purchase from over 50 competitively awarded nationwide contracts. Sometimes, the pricing in these contracts is more aggressive than MHEC or STATE Contracts. The categories and sub-categories are:

Interior Products – Furniture, Flooring, Furnishings
General Products – Athletic Supplies, Food Service, Medical Equipment and Supplies, Maintenance, Office Supplies, Scientific Technology Products
Services – Delivery & Freight, Food Service, Moving Services, Travel, Procurement Cards, Other Services.

To use E & I contracts, please contact Administrative Purchasing.
4.300 PURCHASING FORMS

The College uses the following forms for purchasing: Requisitions, Purchase Orders, Requests for Quotation, Contract for Services, Employment Status Form, Purchase Order / Encumbrance Increase Request Form.

The Business Office reviews and processes all requisitions to issue completed purchase order forms. Either the originating department or Administrative Purchasing completes the requests for quotation.
4.301 REQUISITION FOR SUPPLIES AND EQUIPMENT

This form is used to initiate all purchase orders at the College. Please note that food purchases must describe what the event is for. Food and equipment requisitions are submitted to the Vice President for Administration and Finance or designee, to ensure compliance. The requisition is completed by the Cost Center Director and sent to the Business Office for processing. (Changed March 2020 due to Covid-19) The initiator will submit requisition form with pertinent information, (i.e. order forms and quotes where necessary) to the purchasing bookkeeper in the Business Office via email or electronically.

Tips for completing the requisition.

Please allow at least 10 business days for the business office to process.

The Facilities Department can be contacted in deciding whether a Material Safety Data Sheet (MSDS) is required under the Right-to-Know law.

Administrative Purchasing should approve and sign the purchase order before a purchase order number is released.

The Facilities Director should review any bid, requisition or purchase order for heavy equipment, which might require additional wiring, plumbing or other support, prior to issuance. This will allow the Facilities Department to plan for any utility installation, which might be required or to make suggestions for alternative equipment.
Please refer to the online version of this document as the most up-to-date copy.
4.303  CONTRACT FOR SERVICES

No person or entity may provide services or receive payment without proper authorization. An entity must have a contract signed by the Cost Center Director and reviewed for fiscal compliance and approved by the Vice President for Administration and Finance (or designee) prior to performance of services. A Contract for Service is completed when a company, or an individual acting as an independent contractor, provides services to the College. A guide for completing contracts for service is available at HCC’s Staff Resources page or here: Contract for Services Process Overview

An Employment Status Form (see 4.310) is used make the determination PRIOR to the procurement of services, as to whether the type of work to be performed will trigger an employment relationship or a non-employment relationship. A completed Employment Status Form, signed by the cost center director must accompany a contract for services prepared for an individual. A Contract for Service with a company does not require an accompanying Employment Status Form.

A cost center director must complete the Contract for Service Form available at HCC’s Staff Resources page

The form is also accessible here:

Contract for Services Form

Once submitted, approvals are electronically sent.

The Contract for Services form must be approved, and funds encumbered before any services are rendered. The College has no responsibility to pay for services performed in the absence of a fully executed contract. No payment will be made without such a contract.
**HOLYOKE COMMUNITY COLLEGE**

**EMPLOYMENT STATUS FORM**

**FOR DETERMINING STATUS OF CONTRACT EMPLOYEE/INDEPENDENT CONTRACTOR**

**INDIVIDUAL CONTRACTOR NAME:**

**PROJECT/CONTRACT DESCRIPTION/#:**

Departments are required to determine the type of work to be performed and whether it qualifies for contract employee or independent contractor status PRIOR TO PROCURING THE SERVICES. Once an individual contractor is hired, this form must be completed and filed with the contract. Pursuant to M.G.L. c. 149, s. 148B, an individual contractor is presumed to be a contract employee unless they meet all factors of the three-factor test (below). The department must attach any relevant documentation in order to support independent contractor status.

<table>
<thead>
<tr>
<th>Three Factor Test and Factors to Consider</th>
<th>TRUE</th>
<th>FALSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The individual is free from control and direction in connection with the performance of the service, both under his/her contract for the performance of service and in fact.</td>
<td></td>
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</tr>
<tr>
<td>a. The department does not provide instructions to the worker about when, where, and how he or she is to perform the work, does not set the work hours and daily schedule as it would for its employees and the worker is not required to perform the services in a standard or predefined order or sequence set by the department. The department does not provide the same or similar training to the worker to perform the work for the department that it provides to its other employees.</td>
<td>YES</td>
<td></td>
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<tr>
<td>b. The department does not hire, supervise and pay assistants for the worker or pay for business or traveling expenses of the worker (unless travel is negotiated as a requirement of the contract and costs are negotiated). Any assistance needed by the worker is self-provided since the worker may not supervise department staff.</td>
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<tr>
<td>c. The work relationship between the department and the worker will not continue beyond the current project/contract. If the individual is continually hired from project to project and maintains an ongoing contractual relationship with the department, the answer to this section is “NO” and the presumption will be that the individual should be a contract employee unless all other factors support independent contractor status.</td>
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<tr>
<td>d. Work is performed on the department’s premises with limited access to department resources only to the extent necessary to perform services and not because the worker does not have available facilities or equipment. The worker furnishes his/her own tools, materials and equipment, relies little on department support resources, and has a significant investment in his/her own facilities.</td>
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<tr>
<td>e. Worker is required to submit oral or written reports to the department documenting work status because department is not overseeing day-to-day performance.</td>
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<tr>
<td>2. The service is performed outside the usual course of the business of the employer.</td>
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<tr>
<td>The services performed by the worker are not integrated into the department’s business operations. If the services or work performed are the same or similar as work performed by other state employees, or the department as a whole, the answer to this section is “NO” and the individual will be a contract employee.</td>
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<tr>
<td>3. The individual is customarily engaged in an independently established trade, occupation, profession or business as services provided for the department.</td>
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<tr>
<td>The worker does not devote substantially full time to the business of the department. The worker provides services for more than one client at a time or to the general public. If the individual’s business is substantially subsidized by a single department with limited funding from other clients, the answer to this section is “NO” and the individual will be a contract employee.</td>
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The department hereby certifies to the best of their knowledge and belief that the individual contract relationship described above qualifies as (select only one):

- [ ] Contract Employee  OR  [ ] Independent Contractor

**Signature**

**Title**

**Printed Name**

**Date**

9/2015

Please refer to the online version of this document as the most up-to-date copy.
A Purchase Order/Encumbrance Increase Request Form is for anticipated increases in expenditures beyond the originally encumbered amount. The form must be authorized by the cost center director or authorized designee. It is to be completed in entirety and sent (by email or electronically, changed March 2020 due to Covid-19) to the Purchasing Bookkeeper in the Business Office if not grant related. Grant related increases must go to the appropriate Grant Accountant, who will forward (via email or electronically, changed March 2020, due to Covid-19) it to the Purchasing Bookkeeper for processing.

No form is required for the reduction and/or liquidation/closure of a purchase order/encumbrance. The cost center director/designee may email the Purchasing Bookkeeper, with a copy to the Assistant Comptroller requesting the reduction or liquidation of the encumbrance. The Assistant Comptroller will review and approve the request, and by copy to the cost center director and the Purchasing Bookkeeper indicate approval for processing the request.
# Purchase Order / Encumbrance Increase Request

**ACCOUNT NAME** | **FUND** | **ORG** | **ACCT** | **PROG** | **ACTIVITY**  
---|---|---|---|---|---

P.O. or Encumbrance Number:  
Vendor's Name:  
Reason for increase:  

<table>
<thead>
<tr>
<th>Original amount of purchase order <em>(including prior increases)</em></th>
<th>Amount in Dollars</th>
</tr>
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<tbody>
<tr>
<td>A</td>
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</table>

<table>
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<tr>
<th>Requested Increase Amount</th>
<th>Amount in Dollars</th>
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<td>B</td>
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<table>
<thead>
<tr>
<th>Total year-to-date amount of P.O. or encumbrance</th>
<th>Amount in Dollars</th>
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</table>

If pre-contracted vendor, provide contract number below:  
M.H.E.C. Contract #:  
State Contract #:  

*If vendor is not a pre-contracted vendor, and amount in box A is to be increased over quote ($10,000-$24,999) and/or bid (greater than $25,000) thresholds, purchasing policy guidelines must be followed.*

Prepared by:  
Printed Name of Approver:  
Date:  
Est.:  
Signature of Approver:  
Date:  

For food purchases, signature of applicable Division V.P.:  
Date:  
For technology items, signature of C.I.O.:  
Date:  
For food or equipment purchases, signature of V.P. for A. & F. (or designee):  
Date:  
Signature of Grant Accountant (if applicable):  
Date:  

Incomplete documents will not be processed. Please allow for a ten business day turn around time.

For Accounting Use Only  
☐ Sufficient Budget - Process  
☐ Insufficient Budget - Return  

Checked and Processed by:  
Date:  

10/15
4.400

SPECIAL PROCEDURES
4.401 ADVERTISING

Personnel Recruitment

All advertising for personnel recruitment must meet contract and affirmative action requirements. No advertising may take place unless funds for hiring have been approved.

Recruitment advertisements may be placed only by the Dean of Human Resources.

No other person is authorized to place advertising for personnel recruitment.

Legal Advertisements

Legal advertisements may be placed only by the Vice President for Administration and Finance or by the Director of Facilities and Engineering.

Marketing and External Advertising

The College has developed a unified marketing plan under the direction of the Vice President for Institutional Advancement and Director of Marketing. All print, radio, and television ads are to be reviewed and placed by the Director of Marketing, regardless of the source of funding.

General Comment

A purchase order number referencing source of funds must accompany each placement. A copy of the PO may be sent with print copy or, if an ad is called in, a PO number must be referenced for billing purposes.
The College Store allows a 20 percent discount (10 percent on textbooks) on all purchases by College departments. This is a convenient source for certain specialized items or those needed immediately. Most departments find it convenient to issue a blanket purchase order for purchases during the fiscal year.

The following procedure is to be used:

1. Prepare a standard requisition form, referencing account number and object code.
2. Under "Description" insert College Store Blanket Order for Fiscal Year____.
3. Under "amount" insert your estimate of the year's purchases. This amount may be increased or decreased during the year by sending a memo to the Business Office.
4. List the names of all persons in your department authorized to charge against the purchase order. The College Store will not allow unauthorized persons to pick up goods. If you wish to change the list during the year, send a memo to the Business Office.
5. Upon receipt of goods in the College Store, the authorized person signs a form and retains a copy. Charges are then posted automatically by the Business Office and will appear on your cost center account in Banner.
The storekeeper maintains a supply of copier paper, laser paper, poster paper, letterhead, and mailing labels. The storekeeper also engravesto supplies nameplates for desks and doors. The cost for these supplies is charged back yearly to cost center accounts. Because of the volume purchased, the College receives maximum value for the dollar with these items. Please obtain these items, as you need them, directly from the storekeeper.
4.404 PERSONAL PURCHASES

The College will not process any orders for personal purchases. To do so would not only require expenditure of personnel time and materials supported by the Commonwealth but would also threaten the tax-exempt status of the College.

Some vendors, particularly for computer products, do offer special discounts to College employees. Generally, you need only identify yourself as an employee to access these discounts; if special forms or procedures are required, Administrative Purchasing will assist.
4.405 MEMBERSHIPS AND SUBSCRIPTIONS

Only institutional memberships are authorized.

Subscriptions may be sent only to College addresses. Departments are encouraged to utilize subscriptions existing in the Library rather than duplicating subscriptions. Circulation of subscriptions among College staff may be cost effective.

Cost Center Directors may wish to consult with the business office prior to submitting a membership or subscription, to ensure non-duplication. All institutional memberships should be sent to Administration and Finance to be centrally paid.
When considering the use of college funds for refreshments, staff members need to be mindful that such funding comes primarily from taxpayers through the state appropriation and grants or from our students in the form of tuition, fees and College Store receipts. College dollars must be utilized in support of activities advancing the mission of the institution.

There are instances where the use of college funds for refreshments serves a legitimate function in supporting college activities. Faculty and staff must use sound judgment in determining when such expenditures are appropriate and avoid use that is or could be perceived as frivolous. Refreshments are not appropriate for routine staff and committee meetings, for example.

With approval from the division Vice President, appropriately budgeted college funding may be used to provide food and beverages at official college functions under any of the following conditions:

1. The event involves off-campus visitors. It is the type of event for which refreshment would be considered customary.
2. It is a special meeting or event for HCC faculty, staff or students where refreshments will support positive morale.
3. It is a work session that is lengthy and judged to be difficult where refreshments are provided in appreciation of employee efforts.
4. It is an early morning event starting before 8:30 or a late afternoon event stretching into the dinner hour.

The official college food service must be utilized unless special permission is granted by the Vice President for Administration and Finance, the Comptroller or the Assistant Comptroller.

**Retirement Party Food**

Cost Centers are permitted to use their cost center funds of up to $650 specifically for the college-wide celebration of an officially retiring employee. Aramark Dining Services has put together several menu options for use in this celebration. A Requisition for Supplies and Equipment must be completed prior to the event, noting the reason for the food and retiring employee's name. Once a Purchase Order has been approved, the order may be placed with Dining Services.
4.500 ACCOUNTS PAYABLE

Payments shall be made in accordance with the bill paying policy issued by the Office of the Comptroller and 815 CMR 4.00, provided that payment periods listed in a contract of less than forty-five (45) days from the date of receipt of an invoice shall be effective only to enable a Department to take advantage of early payment incentives and shall not subject any payment made within the forty-five (45) day period to a penalty. In order to effectively process payment, it is important that all invoices and receipts received by cost centers are immediately approved and sent (via email, changed March 2020, due to Covid-19) to the business office. To approve an invoice for payment a cost center director or designee, should write “OK to pay”, sign, date, and note the encumbrance, contract number or purchase order number on the face of the invoice and send (via email, changed March 2020, due to Covid-19).

Payments in an amount greater than the amount originally encumbered are acceptable, provided that the overage is not greater than 10% of the purchase order, contract, or encumbrance amount up to a maximum $100.

In the rare occurrence that the invoice is more than the tolerance level mentioned above; the cost center director or designee should write “OK to pay”, the amount to be paid from the purchase order, “please direct pay remainder $ (amount over), indicate the reason for the overage, sign and date on the face of the invoice and send (via email, changed March 2020, due to Covid-19). The cost center director or designee should then forward via email, the document for the direct pay portion to be approved by the respective divisional vice president, and to the Vice President for Administration and Finance or designee.

For food or a meal expenses (other than travel and Aramark purchases), the reason for the event, and a list of attendees should be documented on the itemized receipt. Alcohol purchases are at the sole discretion of the President or designee and will be disallowed if not approved in advance. Food or meal expenses must be pre-approved by the VP for A&F or designee.

Please see the direct payment form directions for purchases that have not been pre-approved.
Each cost center director is responsible for the timely submittal of invoices to the Business Office. Many vendors offer HCC discounts for prompt payment, so the turnaround time for processing payments can be critical. In addition, some vendors are understandably reluctant to do business with entities that are unable or unwilling to pay invoices in a timely manner. The Business Office will monitor turnaround time; cost center directors will be held responsible for departments that are negligent in processing invoices. Purchase order or encumbrance numbers, an authorized signature, “OK to pay”, and date must be on the face of every invoice that is submitted for processing.

The Comptroller or designee must authorize payment for an invoice without a purchase order for items that are required to have purchase orders. A Direct Payment Request Form (see 4.620) must be completed in entirety when an exemption is approved by the Vice President of Administration and Finance or Comptroller.

A cost center will lose the privilege of incidental purchases if it is abused. If a purchase is made without sufficient funds available, the cost center director will be contacted to arrange a budget transfer to cover the expense. If there are no funds available in that cost center, it is the cost center director’s responsibility to work with the respective divisional vice president to identify and request a transfer of the required funds.

The College processes disbursement through the close of business on Thursday, issuing checks every Friday from local trust funds. This schedule is moved a day earlier for weeks where a holiday falls on a Friday. The College processes vouchers for payment through the state’s MMARS system from state accounts on a daily basis. Checks are issued according to the State’s warrant schedule.
4.502 DIRECT PAYMENT REQUEST FORM

A Direct Payment Form must be completed when a payment is to be made without a purchase order or encumbrance. The Comptroller or designee must authorize payment for an invoice without a purchase order for items that are required to have purchase orders. If the direct payment is completed for another reason, a legitimate explanation must be documented on the direct payment form, and both the requestor’s respective divisional Vice President and the VP for Administration & Finance/designee must approve the payment. It is the requestor’s responsibility to obtain these approvals.

Please refer to the online version of this document as the most up-to-date copy.
# Direct Payment Request

**Holyoke Community College**

<table>
<thead>
<tr>
<th>ACCOUNT NAME</th>
<th>FUND</th>
<th>ORG</th>
<th>ACCT</th>
<th>PROG</th>
<th>ACTVTY</th>
<th>Invoice Date</th>
</tr>
</thead>
</table>

**Vendor's Name**

[Vendor's Name]

**Address**

[Address]

**Phone Number**

[Phone Number]

**New vendor, MA W-9 form attached**

**M.H.E.C. Contract #**

**State Contract**

**Contract #**

<table>
<thead>
<tr>
<th>QTY</th>
<th>DESCRIPTION</th>
<th>UNIT PRICE</th>
<th>TOTAL PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$</td>
<td>-</td>
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<td>$</td>
<td>-</td>
</tr>
</tbody>
</table>

**Cost Subtotal**

$ -

**Freight**

$ -

**Total Amount**

$ -

Please check the appropriate box:

1. [ ] Dues, membership disbursement - no purchase order required.
2. [ ] One time yearly subscription, license, or maintenance disbursement - no purchase order required.
3. [ ] Non-recurring incidental purchases of goods less than $100 - no purchase order required.
4. [ ] OTHER - must explain reason why purchase order process was not followed.

---

**Prepared by:**

[Prepared by]

**Printed Name of Approver:**

[Printed Name of Approver]

**Extension**

[Extension]

**Signature of Approver:**

[Signature of Approver]

**Date:**

[Date]

---

If Box 4 is checked, signature of Divisional V.P. and the V.P. for A&F is required.

**Divisional V.P.:**

[Divisional V.P.]

**Date:**

[Date]

**V.P. for A&F or designee:**

[Signature of Grant Accountant (if applicable)]

**Date:**

[Signature of Grant Accountant (if applicable)]

**Date:**

[Signature of Grant Accountant (if applicable)]

**Date:**

For technology items, signature of C.I.O.:

[Signature of C.I.O.]

[Date]

For Accounting Use Only

**Banner Generated Invoice Number**

[Banner Generated Invoice Number]

---

Please refer to the online version of this document as the most up-to-date copy.
4.600 Cell Phone Policy

Employees whose positions include the emergency need for a cell phone to conduct College business may receive a college-issued cell phone. The College has identified the following positions: President, Director of Facilities and Director of Public Safety. The College requires that these employees be readily accessible for frequent or emergency job-related contact. Failure to do so may result in the loss of the cell phone.

Student Activities has been issued a cell phone for use on student trips, and the monthly cost is paid from that Cost Center.

The Information Technology Department also issues cell phones to IT personnel for the frequent or emergency job-related contact.
5.000

TRAVEL POLICY
5.100 TRAVEL POLICY
(Internal Control Reference – Chapter 9)

All requests to travel must be approved by the respective divisional Vice President regardless of the source of funds. It is the traveler’s responsibility to obtain this approval prior to submitting the request to the Business Office. Where a grant is the source of funding for the travel, the approval of the Grants Manager/designee is also required, and it is the traveler’s responsibility to obtain this approval prior to submitting the request to the Business Office. The Purchasing Bookkeeper forwards all requests to travel for review and approval to the Vice President for Administration and Finance or designee, who returns the approved requests to the Purchasing Bookkeeper for processing. The expenses and encumbrances will appear in Banner for the respective cost center. The authorization to travel will be contingent upon the availability of funds and will be approved in accordance with the importance of the proposed travel to the College’s mission and the individual’s professional development. A completed Request to Travel form should be submitted to the Vice President for Administration and Finance or designee a minimum of twenty business days prior to travel. If travel occurs without prior approval, the traveler may not be reimbursed nor covered by the College or Commonwealth insurance.

Reimbursement of travel costs will follow state laws and regulations (and collective bargaining agreements, if applicable), regardless of the source of funds.
5.200 TRAVEL PROCEDURES

HCC TRAVEL AND EMPLOYEE EXPENSE REIMBURSEMENT POLICY GUIDE

College business may require staff/faculty to travel and incur work related expenses. You should be cognizant that you are using College funds; the vast majority is derived from student fees. Holyoke Community College will pay for normal, reasonable and prudent business-related expenses that are incurred by individuals traveling on official College business whose purpose is to further the mission of the College.

The Commonwealth of Massachusetts requires that all employee reimbursements be paid by HR/CMS – payroll. Consequently, there are significant changes to the timing and accounting for employee business/travel expenses. Business and Travel expenses paid directly to vendors by the College will be paid by Banner Accounts Payable. All employee reimbursements will be paid from the state’s Oracle HR/CMS payroll system.

PURPOSE
This policy provides general guidelines for the appropriate and reasonable expenditure of College funds for travel and other work-related purposes.

TO WHOM THIS POLICY APPLIES
• Individuals traveling on College business, regardless of the source of funds;
• Individuals with supervisory responsibilities for College budgets;
• Individuals who make College travel or business-related arrangements for themselves and/or for others;
• Individuals who initiate, review, approve, process, or record financial transactions on behalf of the College;
• Individuals seeking reimbursement for College Expenses paid with personal funds;
• Departments may implement more restrictive policies and procedures to which departmental personnel should adhere.

RESPONSIBILITY
Supervisors, Divisional Vice Presidents, Sponsored Program Directors, and Cost Center Managers are responsible for assuring that within their administrative units, departments, and grants:
• Budgeted funds are available to meet all travel or business-related commitments.
• Proper authorization for travel is obtained before any commitments are made.
• The potential benefits of the trip justify its time and expense after considering more cost-effective alternatives (such as teleconferencing).
• All expenditures follow appropriate College policies, regardless of the source of funds.
• Any exceptions should be properly noted, documented and approved by the appropriate Vice President.
• Added restrictions are placed on expenditures paid with federal/state funds or restricted gifts or contracts.
• These restrictions should be taken into account when expenditures are planned.

OVERVIEW
To ensure sound business practices and proper reporting, travel expenses must be in compliance with external regulations, particularly federal cost regulations under the Uniform Guidance 2CFR200, and tax regulations.
under the Internal Revenue Code [see Appendix B for brief outline of IRS regulations as explained in IRS publication 463(2017)]. This policy has been developed to comply with these regulations.

Travelers are responsible for understanding this policy before planning any travel on behalf of the College. Travel policy training is available through the Business Office.

The traveler must complete and submit appropriate forms in a timely and accurate fashion prior to making any charges using College funds, accompanied by documentation demonstrating that expenditures incurred are reasonable and business related.

Each program, department and division is responsible for designating an appropriate Authorized Approver to approve College travel or other business related expenditures. Generally, this individual is the Dean, Director and/or Department Head. This individual is responsible to verify that:

- Travelers have followed all College travel policies and procedures.
- All expenditures are reasonable and have a legitimate business purpose.
- All expenditures are supported by adequate documentation and are accurately reflected on the Holyoke Community College Travel Expense Report or Employee Business Expense Reimbursement Requests.

This policy is divided into the following major sections:

1. General Travel Guidelines
2. Payment Methods
3. Documentation and Reimbursement Requirements
1. **GENERAL TRAVEL GUIDLINES**

**TRAVEL AUTHORIZATION**

A Request for Travel Pre-Approval Request must be prepared before any commitments are made. Submit the completed form to the traveler’s Authorized Approver for approval at least 20 business days prior to domestic travel and 8 weeks prior to international travel. The President’s travel requires the approval of the Chair or Vice Chair of the Board of Trustees and Vice Presidents are required to submit their requests to the President. The Chair may designate another Board member to authorize the President’s travel. The President may designate another Vice President to authorize another Vice President’s travel. The authorized designees may approve when the traveler’s Authorized Approver is unavailable for a specific period of time.

All travelers and approvers should have knowledge of the Travel Policy. Inquiries and Guidelines for the funding of faculty travel related to professional and scholarly activity should be directed to the Office of the Vice President for Academic and Student Affairs.

**TRANSPORTATION**

When traveling on College business travelers will utilize the most economical mode of transportation necessary for their trip. Only those who have been approved to drive College vehicles are authorized to operate College-owned or leased vehicles.

**AIR TRAVEL**

Holyoke Community College covers the cost of coach class tickets. Any upgrades, enhancements, or additional travel insurance are personal expenditures and will not be paid for by the College. First Class air travel is not an allowable expense. Advanced Purchase discount tickets should be utilized whenever possible and every effort must be made to obtain the lowest fare possible.

**CHARTERED BUS SERVICE**

Chartered Bus Services are to be requested with a Purchase Requisition that upon approval will generate a Purchase Order and reported on Travel Expense Report Form as a college paid expense.

Do not use the Contract for Services nor the Travel Request processes.

**COLLEGE FLEET VEHICLES**

College employees may request to use a college vehicle when traveling within drivable distances (up to 200 miles from the College). The traveler must file a Request to Travel Form even if no funds are requested for reimbursement. This is to ensure that the College and the Commonwealth of Massachusetts Insurance will cover any personal liability issues the traveler may incur or expenses that may result from using the vehicle.

Requests for scheduling the cars are made through the College’s Event Management System (EMS) including requests for college vans.
Preference is given for longer distance travel; in case of conflicting demands, the college may require the use of a private vehicle or supply a rental vehicle and will reimburse the driver in accordance with the collective bargaining contract or appropriate personnel policy. The actual gas expense incurred by the traveler will be reimbursed (no mileage allowance) when using a College fleet or rented vehicle.

College policy requires that anyone driving a college vehicle hold a valid driver’s license. A photocopy of a valid driver’s license is required to be on file in the Facilities Department before using any college vehicles.

**PERSONAL VEHICLES**

The use of personal vehicles for approved College travel is not limited by mileage, but alternate travel arrangements should be investigated to reduce costs for round trips exceeding 500 miles. Many rental agencies offer unlimited mileage with favorable daily and weekly rates.

The College reimburses for business related use of personal vehicles based upon the current IRS standard mileage reimbursement rate. Gasoline purchased for a personal vehicle is not reimbursable.

Expenses incurred for personal vehicles for mechanical failure or accidents, including personal automobile insurance deductions, will not be reimbursed. Fines for parking or traffic violations are the responsibility of the traveler and will not be reimbursed.

When using a personal vehicle for college-related business travel, the vehicle’s insurance will be considered primary coverage in the event of an accident. The traveler is responsible for any deductibles under the policy. The College is self- insured and may provide additional coverage only if personal insurance limits are exceeded due to a catastrophic accident where a fatality and/or extremely serious injuries occur while on approved College business related travel.

**LODGING**

The College will pay for single room rate accommodations.

- Educational, conference, or government discounts should be requested when reservations are made.
- Reimbursements will be made for reasonable lodging expenses for each night away from home.
- Detailed receipts from the motel/hotel are required.
  - Movies, Games, Room Service, and Honor Bar expenses and most other personal expenses are not allowable.
  - Internet expenses are allowable if required to conduct College related business.
- It is the responsibility of the traveler to cancel any room reservation that will not be used. A record of the cancellation number should be retained in case of billing disputes. If an employee fails to cancel a reservation in a timely manner, they will be held responsible for any cancellation fees.
- College policy does not allow for using Airbnb or similar services.

While traveling on College business, travelers may stay with colleagues, family, or friends to avoid the expense of staying in a hotel. The College does not have a policy to reimburse the traveler for any cash or non-cash gift for their lodging.
MEALS

Meal Allowances: In completing the Travel Expense Report, normal working hours are to be stated for purposes of determining reimbursement for the breakfast and evening meals.

Per Diem Meal Reimbursement Rates:

- Breakfast $8.00
- Lunch (reimbursable on full travel status only) $12.50
- Dinner $20.00

Total reimbursable per day (includes tips) $40.50

Meal allowances per diem are reimbursed as follows:

A. Full travel status: Persons shall be reimbursed for meals when absent from their homes on assignment for more than twenty-four hours.

Full travel status begins/ends:

Applicable Period on the date travel begins and/or ends are entitled to:

- Between 3:00 a.m. to 9:00 a.m. Breakfast
- Between 9:00 a.m. to 3:00 p.m. Lunch
- Between 3:00 p.m. to 9:00 p.m. Supper

B. Same Day Travel: If travel begins or ends at least two (2) hours before/after normal working hours, the applicable meal will be reimbursed. Lunch is not reimbursable on Day Trip status.

Same Day Travel Status Reimbursable Meals:

- Breakfast (reimbursable if travel begins at least two (2) hours before normal working hours, e.g. before 6am) $8.00
- Lunch-not reimbursable on Day Trip status
- Supper (reimbursable if travel ends at least two (2) hours after normal working hours, e.g. after 6pm) $20.00

Total reimbursable per day on Day Trip status $28.00

INCIDENTAL EXPENSES

Incidental expenses are defined as fees associated with ground transportation charges, fees and tips given to porters, baggage fees, hotel staff, ground transportation, parking, and toll charges. Incidental Expenses greater than $25 USD must be substantiated by acceptable receipt documentation.

LIQUOR

Federal and State regulations prohibit the College from reimbursing any expenditure for alcoholic beverages.
GRANTS AND CONTRACTS

Travel that is funded by a Federal or State grant or contract, must adhere to all College policies and procedures as well as any additional restrictions required by the grant or contract authority. Questions regarding allowable expenditures should be directed to the Business Office – Grant Administration.

Federal and State Grants may be audited and are subject to external and internal controls. It will be the responsibility of the Grant Manager or designee to see that all expense transactions for Federal and State Grants are signed by the Principal Investigator, have appropriate documentation and approvals, and are in compliance with the College policies and procedures outlined in this document.

It is the responsibility of the Principal Investigator to review and sign all receipts and documentation for Federal or State Grant expenditures. By signing the receipts the Principal Investigator has ensured that the costs charged to the grants are allowable, allocable, and reasonable and meet the requirements of the grant or contract authority.

INTERNATIONAL TRAVEL

Reimbursement requests for International Travel follow the same guidelines as the general Travel Policy.

Expense Reports must be submitted in U.S. dollars with an explanation and translation of the foreign receipts and their conversions. Travelers must use the currency rates that were in effect on the date the expense was incurred. Travelers may use the following websites to obtain such rates: www.xe.com, www.oanda.com.

Foreign transactions charged to credit cards are automatically converted to U.S. dollars.
2. PAYMENT METHODS

**HCC Paid Direct (Check or EFT)**

Conference registration fees and Transportation arranged by South Hadley Travel can be paid by the College upon request of the traveler. These payments will be considered advances if not accounted for within 60 days of completion of the activity or if the activity is not completed.

**HCC Procurement Card**

College procurement cards (P-Card) may be used for College business expenses including travel expenses. These payments will be considered advances if not accounted for within 60 days of completion of the activity or if the activity is not completed. Hotel expenses may be pre-authorized on the College’s credit in order to secure a reservation, but must not be paid for in advance.

**Personal Funds**

Employees may use personal credit cards, checks, or cash to pay for College approved expenses and will be reimbursed through the state’s payroll system (HR/CMS) upon submitting adequate documentation and accounting.

**Advances – Requires Administration & Finance Approval**

The College will in limited circumstances issue advances directly to employees no more than 30 days prior to the activity related to the advance. The advance must be accounted for within 120 days of completion.

Below are the new account codes for travel and business expense reimbursement:

- B 05-Registration paid by employee
- EE 2-Registration paid by college
- B 01-Out of state travel paid by employee
- B 02-In state travel paid by employee
- E 41-Out of state travel paid by college
- E 42-In state travel paid by college

B 10 – Non-travel Business Expense Reimbursement

Please refer to the online version of this document as the most up-to-date copy.
3. DOCUMENTATION AND REIMBURSEMENT REQUIREMENTS

DOCUMENTATION REQUIREMENTS

Regardless of the payment method utilized, original detailed receipts and/or supporting documentation for each transaction is required. All itemized receipts should include the date and name of the establishment.

Examples of unacceptable forms of receipts include:
- Copies of credit card statements
- Non-itemized hotel statements (for non-lodging expenses)
- Non-itemized restaurant receipts (for pre-approved business meetings)
- Receipts without form of payment indicated

Documentation is NOT required for meals and incidental expenses less than $25 USD. Incidental expenses include, but are not limited to gratuities, metered parking, public transportation, public pay phones, and other miscellaneous travel expenses that don’t normally produce receipts. Toll receipts and statements are obtainable and are required for toll transactions exceeding $5 USD.

TRAVEL EXPENSE REPORT FORM

Within 30 business days of completion of travel, all travelers should complete a College Travel Expense Report for each trip. The College has adopted an Accountable Plan pursuant to IRS guidelines that establishes a 60 days reasonable timeframe for submitting expense reports. Reimbursements will be based on an approved expense report.

- All payment methods MUST be listed on the expense report.
- All original receipts requiring reimbursement should be taped or stapled to 8 ½” x 11” sheets of paper or provided electronically.
- Due to exceptional circumstances when original receipts are not available, prepare and sign a memo explaining and certifying the expense.
- Include pre-approved encumbrance Authorization # (e.g. E001234567).
- For International Travel, additional instructions can be found in the International Travel section of this policy.

In order to comply with IRS regulations, Holyoke Community College employees must reconcile College travel expenses on a Travel Expense Report Form within 60 days of completion of travel. In the event that an Approved Travel Expense Report Form is not submitted to the Business Office within 60 days, any college paid expenses may be treated as income to the employee. These funds will be subject to required payroll tax withholding and reported on the employee's W-2 as taxable earnings. College related travel expenses incurred using personal funds would be ineligible for reimbursement after 120 days.

REIMBURSEMENT REQUIREMENTS

Reimbursements for telephone calls made from land line phones while traveling on College business, including those calls to obtain transportation and hotel reservations, communicate with the office, and one personal call per day are allowable. On the Travel Expense Reports, indicate...
telephone calls made from your hotel room, on the "Other" line and provide appropriate explanations for the calls.

An Authorized Approver must approve requests for reimbursements via a Travel Expense Report. The approver is responsible for ensuring that the transaction(s) are valid and directly related to College business and must be at least one management level above the person submitting the request. The approver may request further documentation or explanation for expenses that appear to be excessive or unusual in relation to the nature of the travel. If the travel was not pre-approved, the Divisional Vice President must approve the Travel Expense Report and the reason for no pre-approval included in the remarks section.

For examples of Reimbursable and Non-Reimbursable expenses, please see Appendix A.
APPENDIX A

REIMBURSABLE EXPENSES

The following list is presented only as a guide and is not intended to be a complete list of expenses reimbursable by the College:

- Transportation, lodging and meal expenses, including tips.
- One standard airline baggage charge per flight, for the employee’s luggage only.
- Expenses associated with baggage handling, storage, and tips.
- Internet and fax charges.
- Laundry expenses when away for five or more consecutive days.
- Telephone calls from pay phones and hotels, including only those calls necessary to obtain transportation and hotel reservations, reservations, communications with the office, and one personal call per day.

NON-REIMBURSABLE EXPENSES

The following list is presented only as a guide and is not intended to be a complete list of expenses not reimbursable by the College:

- Upgrades – air, hotel or car rental.
- Unused transportation or hotel reservations not properly cancelled.
- Portion of air travel, train travel, auto rental, mileage, hotel costs or meals for personal use.
- Additional insurance such as travel, travel accidental death/dismemberment, trip cancellation, general liability, auto, and collision damage waiver.
- Personal travel rewards and frequent flier programs.
- Personal expenses such as movies, haircuts, reading material, toiletries, medicine, sauna or Spa/massage treatments.
- Personal telephone calls in excess of one per day
- Childcare fees, kennel costs, pet or house-sitting fees.
- Mileage to and from employee’s home and primary office
- Gift cards.
- Expenses incurred by non-College employees or students
- Gasoline expenses when the personal automobile mileage reimbursement rate is claimed.
- Laundry expenses for trips less than five days.
- Traffic fines, court costs, parking violations and auto repairs to personal vehicles.
- Other expenses not directly related to the business purpose of the trip.

Please refer to the online version of this document as the most up-to-date copy.
Summary as explained in IRS Publication 463(2017). Please note Pages 29-32. Page 32 indicates a table of what is reportable income and what is not reportable income:

If you are an employer and you reimburse employee business expenses, how you treat this reimbursement on your employee's Form W-2 depends in part on whether you have an accountable plan. Reimbursements treated as paid under an Accountable Plan, as explained below, are not reported as income.

Holyoke Community College Travel Policy is consistent with IRS requirements for an Accountable Travel Reimbursement Plan.

**Accountable Plans**

To be an Accountable Plan, reimbursement or allowance arrangement must include all of the following rules:

1. Your expenses must have a business connection - that is, you must have paid or incurred deductible expenses while performing services as an employee of your employer.
2. You must adequately account to your employer for these expenses within a reasonable period of time.
3. You must return any excess reimbursement or allowance within a reasonable period of time.

An excess reimbursement or allowance is any amount you are paid that is more than the business-related expenses that you adequately accounted for to your employer.

**Reasonable Period of Time**

The definition of reasonable period of time depends on the facts and circumstances of your situation. (Safe Harbor)

- You receive an advance within 30 days of the time you have an expense.
- You adequately account for your expenses within 60 days after they were paid or incurred.
- You return any excess reimbursement within 120 days after the expense was paid or incurred.

If you meet the three rules for accountable plans, your reimbursements should not be included in income in box 1 of your Form W-2. If your expenses equal your reimbursements, you don’t complete Form 2106. You have no deduction since your expenses and reimbursements are equal.

**Adequate Accounting**

One of the rules for an accountable plan is that you must adequately account to your employer for your expenses. You adequately account by giving your employer a statement of expense, an account book, a diary, or a similar record in which you entered each expense at or near the time you had it, along with documentary evidence (such as receipts) of your travel, mileage, and other employee business expenses.

**Returning Excess Reimbursements**
Under an accountable plan, you are required to return any excess reimbursement or other expense allowances for your business expenses to the person paying the reimbursement or allowance. Excess reimbursement means any amount for which you didn’t adequately account within a reasonable period of time. For example, if you received a travel advance and you didn’t spend all the money on business-related expenses or you don’t have proof of all your expenses, you have an excess reimbursement.

**Non-accountable Plans**

A non-accountable plan is a reimbursement or expense allowance arrangement that doesn’t meet one or more of the three rules listed above under Accountable Plan.

In addition, even if your employer has an accountable plan, the following payments will be treated as being paid under a non-accountable plan.

- Excess reimbursements you fail to return to your employer, and
- Reimbursement of nondeductible expenses related to your employer's business.

**Reporting your expenses under a non-accountable plan.**

Your employer will combine the amount of any reimbursement or other expense allowance paid to you with your wages, salary, or other pay. Your employer will report the total in box 1 of your Form W-2.
Appendix C – Frequently Asked Questions

How long will it take to receive payment after I submit my Travel Expense Report?
You will receive payment within two to four weeks depending on when it is submitted. If you submit by noon on Thursday of a pay week, you will receive it in your next paycheck. Please note, that you will receive a message from MassHRESCNotifications@state.ma.us via mass.gov indicating that your timesheet has been altered because Payroll will be entering these employee reimbursements directly into your timesheet.

Where will the reimbursement show on my W-2?
Your reimbursement will not show on your W-2 if your expenses equal your reimbursement, and you submitted your accounting within 60 days from the date your expense activity occurred. If the amount reimbursed exceeds the amount substantiated, the difference will be added to your taxable income. The substantiated amount will show in Box 12 with Code L.

What happens if I get reimbursed by the College or the College pays for my airline ticket and I cancel my trip; and the airline will only give a non-transferrable credit in my name?
The amount of the credit will be added to your income, if not used for a business purpose within the calendar year or within 120 days whichever is earlier, and you remain a college employee. If used for a business purpose after 120 days and added to your income, the college will reimburse the total cost of the ticket, not just the excess over the credited amount.

Who should I speak with to find out how this policy will impact a grant funded activity?
Contact one of the Grant Accountants, or the Grant Manager.

Do I need to complete a Request to Travel if it is at $0 cost?
A Request to Travel is not required for a $0 cost travel; however, best practices, indicate that you should have something in writing from Supervisor authorizing your business trip. Administration and Finance does not require a Request to Travel.

Clarifying Question – during the training in February, it was mentioned that the Business Office will initiate the budget transfers for this fiscal year (BB vs. EE). Do these transfers still need approval by the Cost Center?
Yes, all budget transfers, regardless of who initiates them, must be approved by the Cost Center Director.

Who will be doing the training sessions?
The training presentations will be conducted by a team from the Business Office.

Who should I contact to get more information or to have someone walk me through the process?
Contact the Staff Assistant to the Vice President of Administration and Finance to register for one of the initial training sessions at Extension 2221.
Appendix D – Link to Electronic Forms

HCC EMPLOYEE REQUEST FOR TRAVEL Form

Employee Request to Travel

HCC EMPLOYEE TRAVEL EXPENSE REPORT

Employee Travel Expense Report

HCC EMPLOYEE EXPENSE REIMBURSEMENT FORM

Employee Expense Reimbursement Form

INSTRUCTIONS:

Please click on the link from above, and then Download into Excel. You must ENABLE EDITING to be able to use the drop-down boxes. Then save to your personal drive with a new name and date. Each time a new report should be downloaded to ensure you have the most up-to-date copy.
5.201 USE OF COLLEGE VEHICLES

College employees may request to use a college vehicle when traveling within driving distance (up to 200 miles from the College). The college owns several vehicles, which are available for use by college employees on official business. Requests for scheduling the cars are made through the College’s Event Management System (EMS), where employee use of college vehicles is tracked. Drivers are responsible for filling out the vehicle condition report and noting the mileage out and back. **Any parking tickets or vehicle violation tickets received are the sole responsibility of the driver.**

The above requirements must be adhered to for the use of vans managed by Administration & Finance. In relation to the use of the vans, please see the Student Travel and Van Usage policy [here](#).

Preference is given for longer distance travel; in case of conflicting demands, the college may require the use of a private vehicle or supply a rental vehicle and will reimburse the driver in accordance with the collective bargaining contract or appropriate personnel policy.

College policy requires that anyone driving a college vehicle hold a valid driver’s license. A photocopy of a valid driver’s license is required to be on file in the Office of the Vice President for Administration and Finance before using a college vehicle.
6.000

EQUIPMENT
6.100 EQUIPMENT PROCUREMENT POLICY

The following policy has been adopted by the College for equipment purchases.

In order to meet its academic goals and maintain high standards of administrative productivity, Holyoke Community College will seek to provide state-of-the-art equipment for all institutional functions. Annually, a list will be developed of new and replacement equipment to be purchased. Said list will incorporate all funding sources, will be integrated with administrative and academic planning, and be guided by the criteria below. The President, in consultation with the Vice Presidents’ Council, will approve the list; purchase of equipment not on the list will require special approval by Vice President for Administration and Finance.

Criteria for Acquisition: In considering requests for new or replacement equipment, the following criteria will be used to determine approval and priority.

NEW EQUIPMENT

Academic:

- Centrality of equipment to purpose of program
- Program enrollment history and projections
- Safety and public health considerations

Administrative:

- Maintenance of operations
- Increase in productivity
- Safety and public health considerations

REPLACEMENT EQUIPMENT

A schedule of projected equipment replacement is maintained on an annual basis. It is based upon expected useful life of equipment as promulgated by the IRS and/or as estimated by academic personnel (for teaching equipment).

Priorities for replacement equipment will follow the same criteria listed above for new equipment.
6.200 EQUIPMENT REQUESTS

Equipment is defined as any item costing more than $300 and having a useful life of more than three (3) years. This definition of equipment is for budgeting purposes only. Another definition of equipment is used for inventory purposes (see Section 6.110 of this manual).
6.300 PROPERTY LOANS

FACULTY & STAFF:

The College is pleased to make available for loan certain College property to faculty and staff. A variety of items are available for use for both work-related and personal projects. Property will be available for loan only at times when it is not needed for use on campus.

Any eligible staff member may request to borrow property by submitting a complete Property Pass form (see 6.901) to the custodian of the property. Upon return of the property, the borrower should submit the property to the custodian for inspection. The custodian will then complete the final portion of the Property Pass, which should be forwarded to the Storekeeper for retention.

1. Who may borrow property?

All current employees, including staff and faculty, and members of the Board of Trustees may borrow property from the College. Alumni and retired staff and faculty are not eligible. Students are allowed to borrow musical instruments through the Theater Division Office. Non-profit organizations may borrow property only with the approval of the Vice President for Administration and Finance. Profit-making organizations are not eligible to borrow property from the College.

2. For what purposes may property be borrowed?

Employees may borrow property from the College for off-campus use for educational projects relating to the employee's work, recruitment and promotional efforts organized by the College and for other work-related activities. Property may also be borrowed for short-term personal use.

3. What property can be borrowed? For how long?

Non-mechanical items not subject to significant depreciation through use may be borrowed by employees. This includes such items as tables, chairs, lecterns, hand trucks, and certain tools. In general, these items may be borrowed for up to five days.

Musical instruments and equipment may be borrowed for College-related activities and upon approval of the Music Department Coordinator for concerts and performances not related to the College.

Theatrical equipment and all other property not described above may be borrowed only with the permission of the Drama Department Coordinator.

All items that are needed for use on campus must be returned immediately upon request regardless of the terms of the loan if they have been borrowed for personal use.

4. Procedure for borrowing College property.

An employee wishing to borrow property from the College must complete and sign a property pass. The pass must then be signed by the person directly responsible for the equipment (Vice President, Dean, Director) and a copy submitted to the Storekeeper for inventory purposes.

5. Liability
The borrower is responsible for any damage or loss that is incurred during a loan and will either pay for repairs or provide a replacement at current costs at the discretion of the Vice President for Administration and Finance.

**STUDENTS:**

The following applies to student borrowing of college equipment.

Musical instruments and equipment may be borrowed for College-related activities, or for the purpose of practice, concerts and performances not related to the College upon approval of the Music Department Coordinator.

All items that are needed for use on campus must be returned immediately upon request regardless of the terms of the loan if they have been borrowed for personal use.

A student wishing to borrow property from the College must complete and sign a property pass. The pass must then be signed by the person directly responsible for the equipment (Music Department Coordinator) and submitted to the Storekeeper for inventory purposes.

Library Chromebook Lending program: Chromebooks are available for loan in the Library. The Dean of Library is responsible (with input from the Comptroller and Administrative Purchasing) for the policies and procedures of this program.
6.400 EQUIPMENT REPAIR

Multimedia Equipment is the responsibility of the Chief Information Officer. A Media Services Equipment Repair Technician is employed by the College to perform routine maintenance and repair and to obtain major repairs if authorized by the Chief Information Officer.

Electronic Equipment (printers, computers and peripherals) is repaired and maintained by the Information Technology Division (ITD). Malfunctioning equipment should be brought to the attention of ITD; if it cannot be repaired in-house, ITD will coordinate repair service. Extra units are available from ITD for loan while repairs are taking place.

Copiers are covered by service contracts. These contracts are M.H.E.C. or state contracts and are purchased on an annual/as needed basis by the Comptroller or designee. Responsible departments are notified of vendors.
6.500    MISSING PROPERTY

Chapter 647 of the Acts of 1989 was passed on January 3, 1990 and became effective on April 3, 1990. The law establishes the minimum level of quality acceptable for internal control systems for state agencies of the Commonwealth. This law also requires that all unaccounted-for variances, losses, shortages or thefts of funds or property be immediately reported to the Office of the State Auditor (OSA). The OSA is required to determine the amount involved and the internal control weaknesses that contributed to or caused the condition, make recommendations for corrective action, and make referrals to appropriate law enforcement officials. In order to comply with this law, we are requesting that all unaccounted-for variances, losses, shortages or theft of funds or property be reported immediately to the OSA on the attached form.

Any missing property is to be reported immediately to the Campus Police Department. A campus police officer obtains information about the equipment from the Storekeeper and investigates the loss, notifying the local and state police authorities, as appropriate.

The final report is filed with the Vice President for Administration and Finance who determines if the item is to be replaced or if it is to be removed from the inventory.

The Vice President for Administration and Finance then completes the required Chapter 647 reporting with the Office of the State Auditor.
6.600 EQUIPMENT/INVENTORY ADDITION FORM

The purpose of this form is to assure that all electronic items costing $300 or more, and all non-GAAP inventory purchases are added to the inventory system for proper tracking. Non-GAAP inventory is defined as any item costing $1,000 or more up to the $50,000 capitalization threshold.

When submitting requisition forms for the purchase of equipment with a cost of $1,000 or over, or for the purchase of electronic items costing $300 or more (including computers, scanners, facsimile machines, printers, external drives, and LCD projectors) to the Vice President for Administration and Finance, an Equipment/Inventory Addition Form (see 6.903) must be attached to the requisition. The business office encumbrance staff will reject back to the requestor any purchase order for equipment that does not have the Equipment Addition form attached. The grant accountants will reject back to the requestor any purchase order for equipment under any grant that does not have the Equipment/Inventory Addition form attached.

Once the purchase order is complete, the Equipment/Inventory Addition form is forwarded to the storekeeper for addition of the equipment to the inventory.
6.700  EQUIPMENT DISPOSAL/SURPLUS PROPERTY

Equipment no longer needed by a department should be reported to the storekeeper, who will complete a Declaration of Surplus State Personal Property Form (see 6.904) and submit the form to the Director of Facilities. Note that an assessment of the condition of the equipment as Obsolete or Worthless, Stolen, Trade-in, or Defective/returned to vendor must be given. Steps will then be taken to assess its possible use elsewhere on campus or its potential trade-in value.

If neither of these uses is feasible, the Director of Facilities will declare the item “surplus” with the Assistant Comptroller and the Vice President for Administration and Finance. The form is then forwarded to the Commonwealth Operational Services Division where a determination is made as to whether the surplus item(s) should be made available to other state agencies or municipalities. If the OSD determines the surplus is not usable elsewhere, the form is returned, the surplus is declared scrap and the College disposes of it directly.

Note that under state law the College cannot simply sell or give away surplus equipment without going through the above procedures.

No employee may dispose of College equipment without completing the Declaration of State Personal Property Form (see 6.904) and obtaining the approval of the Director of Facilities, Assistant Comptroller, and the Vice President for Administration and Finance. Electronic equipment or equipment containing confidential and/or personal information data, may be disposed with the Declaration of State Personal Property Form, or with form OSD 25 (see 6.905). Form OSD 25 has a space for a responsible party to certify that all confidential and/or personal information data has been removed from all surplus and worthless property listed. Form OSD 25 may also be attached to a Declaration of State Personal Property form that lists electronic equipment that may have hosted confidential and/or personal information data in order to certify that the confidential/personal information data has been removed.

Equipment purchased with grants or trust funds should be declared “surplus” in the same manner, with a notation made by the person responsible for the source of funds. Federal guidelines will be followed in the disposal of any equipment purchased with federal funds. Proceeds from the sale of any equipment originally purchased with trust funds shall revert to that trust fund.
6.800 TRANSFER OF EQUIPMENT WITHIN COLLEGE

The College must maintain accurate inventory records on all equipment with a cost of $1,000.00 or more and electronic items including computers, scanners, facsimile machines, external drives, printers and LCD projectors at the College. Moving these from one room to another, therefore, requires an up-date of the inventory. If cost center directors wish to move an inventoried item, they must fill out an Equipment Transfer Form (see 6.905) and forward it to the Director of Facilities.
6.900 FORMS

Property Pass Form

The form is filled out by the custodian of the property.

Equipment Request Form

Following is an example of the form used to request equipment. The form to be used will be available on the computer network and completed requests should be submitted via the network. All equipment requests are reviewed by the Vice President for Academic Affairs for instructional equipment and by the Vice President for Administration and Finance for supportive equipment. A list of approved items will be returned to the departments for processing during the fiscal year. If your needs change and you wish to substitute items, send a memo to the Vice President for Administration and Finance stating your request. If it is an academic item, it will then be referred to the Vice President for Academic Affairs for review.

Equipment Addition Form

The form is to be filled out and attached to requisition form for the purchase of equipment with a cost of $1,000 or over, or for the purchase of electronic items and submitted to the Vice President for Administration and Finance.

Declaration of Surplus State Personal Property Form

File with the Director of Facilities.

Equipment Transfer Form

File with the Director of Facilities.

Form OSD 25

File with Director of Facilities alone or with a Declaration of Surplus State Personal Property Form, where equipment listed formerly contained confidential and/or personal data. Used to certify that such data has been removed from the equipment being surplus.
HOLYOKE COMMUNITY COLLEGE
EQUIPMENT & INVENTORY ADDITION FORM

Note: Attach this form to your Equipment Purchase Requisition – All equipment with a cost of $1,000.00 or over must be tagged. Although not required, departments may choose to use this form to tag items of lesser value for tracking/inventory purposes.

Equipment Description: ______________________________________________________

__________________________________________________________________________

Assigned to Building: ______________________________________________________

Assigned to Room Number: ______________________________________________

Classification (please circle one of the following) Media Services Building/Grounds

Computer Equip. Furniture HFM/Culinary

Lab Equipment Music Miscellaneous

Purchase Order Number ___________________________ Requisitioner: ________________

Order Date: _____________________________ Cost Center: ________________________

Mfg./Vendor Name: __________________________________________________________

Cost; $_________________ Model Number: ________________________________

Delivery Date: ________________________________

Acquisition Value (item cost + freight + installation) $ ________________________

Asset Life __________________________ Serial Number ________________________

-----------------------------------------------------------------------------

To be completed by Storekeeper

Tagged By ___________________________________________ Date _______________

Bar Code Tag Number ________________________________

Data Entry by ___________________________________________ Date _______________
Please refer to the online version of this document as the most up-to-date copy.

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Age</th>
<th>Condition Code</th>
<th>Original Value</th>
<th>Dept. Inventory #</th>
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</tbody>
</table>

* A signature is required certifying that all confidential and personal information data has been removed from all Surplus and worthless property.

Signature ____________________________________________ Title __________________________ Date ____________________

________________________________________________________________________
Condition Code | Definitions
--- | ---
A-1 | New or unused property in excellent condition. Ready for use and identical or interchangeable with new items delivered by a manufacturer or normal source of supply.
A-2 | New or unused property in good condition. Does not quite qualify for A-1 (because slightly shopworn, soiled, or similar), but condition does not impair utility.
A-3 | New or unused property in fair condition. Soiled, shopworn, rusted, deteriorated, or damaged to the extent that utility is slightly impaired.
E-1 | Used property, but repaired or renovated and in excellent condition.
E-2 | Used property which has been repaired or renovated and while still in good condition, it has become worn form further use and cannot quality for excellent condition.
E-3 | Used property which has been repaired or renovated, but has deteriorated reconditioning and is only in fair condition. Further repairs or renovation required or expected to be needed in near future.
O-1 | Property which has been slightly or moderately used, no repairs required and still in excellent condition.
O-2 | Used property more worn than O-1, but still in good condition with considerable use left before any important repairs would be required.
O-3 | Used property which is still in fair condition and usable without repairs; however, somewhat deteriorated, with some parts (or portions) worn and which should be replaced.
R-1 | Used property still in excellent condition, but minor repairs required. Estimated cost of repairs would cost no more than 10% of the acquisition cost.
R-2 | Used property in good condition, but considerable repairs required. Estimated cost of repairs would be from 11% to 25% of acquisition cost.
S - Salvage | Personal property that has some value in its basic material content, but which is in such condition that it has no reasonable prospect for use for any purpose as a unit and its repair or rehabilitation for use as a unit is clearly impractical.
W - Worthless | Property that has no value at all.

* Estimated Cost: Actual acquisition cost (original cost) or the agency surplus officer’s best estimate of the acquisition cost.

Please Note: If you code items using the S or W condition code, please list this property on a separate DPGS-25 form.

Please refer to the online version of this document as the most up-to-date copy.
EQUIPMENT TRANSFER FORM

To: Director of Facilities

Date of Request: ________________

From: ________________

I request that the equipment or furniture be moved as indicated:

<table>
<thead>
<tr>
<th>Bar Code Tag # (with green lettering)</th>
<th>Equipment Description</th>
<th>Current Room #</th>
<th>Current Location</th>
<th>Proposed Room #</th>
<th>Proposed Location</th>
<th>Department</th>
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</table>

____ I will move the above myself.  ____ I request assistance from Facilities.

To be completed by Director of Facilities

____ Approved, proceed to move equipment.  ____ Approved, Facilities will contact you to schedule.

____ Disapproved, reason__________________________________________________________

Date of Transfer: ________________

Director of Facilities ________________

Date ________________

To be completed by Storekeeper

Transfer data entered by__________________________ Date ________________

Facilities – White  Requestor – Yellow  Storekeeper – Pink
6.1000 INVENTORY POLICIES AND PROCEDURES

Chapter 191, Section 28, of the Massachusetts General Laws requires that each state agency maintain adequate inventory controls and accountability systems for physical property, that all acquisitions, loans, transfers, and disposals be recorded currently, that each piece of equipment (as defined in #6 below) must have an identification tag and that a physical inventory be taken annually. The IT department maintains physical inventory for computers, audio/visual, telecommunications, and related equipment.

The College has adopted the following policies and procedures for the control, inventory, receipt, and storage of equipment.

A. Control

1. Each piece of equipment (defined in #6 below) should have a unique identification number (tag number) attached to it and also recorded on an inventory record maintained on a computer file.
2. Acquisitions by purchase, transfer, or other means must be recorded currently on the inventory records indicating date of acquisition, description, identification number, cost, location, source of funds, and vendor reference.
3. Authorized disposals of physical property should be recorded currently on the inventory records. Documentation authorizing such disposals will be kept by the Director of Facilities.
4. Inter-agency transfers of physical property should be recorded currently on the inventory records.
5. Loans of physical property, when property leaves the custody of the agency, must have proper authorization and should be entered currently on the inventory records. A receipt, containing a detailed description of the property and signed by the person responsible for receiving the loaned property, will be kept by the Vice President for Administration and Finance.
6. All physical property having an original cost or appraised at $1,000.00 or more, must be reported. In addition, high-valued IT electronics (≥$300) including computers, scanners, printers and LCD projectors must be inventoried.
7. Effective procedures must be devised to provide assurance that all physical property is safeguarded, used properly for authorized purposes, and measures taken to ensure adequate care and preservation.
8. The Cost Center Director is charged with the responsibility for the care and custody of the fixed assets in his/her area. The Storekeeper, or designated IT staff for electronics, is charged with conducting the annual inventory of these items in accordance with the procedures for the inventory of college equipment which are:
a) When ordering new equipment costing $1,000.00 or more and all high-value IT electronics, the Cost Center Director submits an *Equipment Addition Form* (see 6.903) together with a *Requisition for Supplies and Equipment* (see 4.303) to the Vice President for Administration and Finance. Once the requisition has been approved and processed, the *Equipment Addition Form* will be forwarded to the Storekeeper. When the Cost Center Director receives the items ordered, he/she must contact the Storekeeper and request that the item be tagged. The Storekeeper will then tag the item and enter it into the fixed asset inventory system.

b) The *Equipment Transfer Form* (see 6.905) must be completed by the Cost Center Director when equipment costing $1,000.00 or more and all high-value IT electronics for which he/she is responsible is moved from one location to another. The completed form is then submitted to the Director of Facilities (for high-value IT electronics, the CIO) for his/her approval before moving any equipment. Once approved, the Director of Facilities will forward the *Equipment Transfer Form* to the Storekeeper/IT Department who will update the fixed assets inventory system.

c) When disposing of equipment costing $1,000 or more and high-value IT electronics, the Cost Center Director and/or the storekeeper must complete the *Declaration of Surplus State Personal Property Form* (see 6.904) and add to it one of the following:

- **Obsolete or worthless equipment**: simply indicate condition code on form.
- **Stolen equipment**: a copy of the filed police or security report.
- **Trade-in equipment**: a copy of the appropriate vendor form which indicates the equipment has been traded in.
- **Defective equipment returned to vendor**: a copy of the vendor credit identifying the equipment.

He/she then submits both the form and the attachment to the Director of Facilities (for high-value IT electronics, the CIO). For electronic equipment, ITD personnel will complete form OSD25 and attach it to the *Declaration of Surplus State Personal Property Form*. In addition to Director of Facilities, Vice President for Administration and Finance and Assistant Comptroller must approve of disposal and sign appropriate form. He will forward the approved *Declaration of Surplus State Personal Property Form* to the Storekeeper who will update the fixed assets inventory system.

**B. Inventory**
*(Internal Control Policy – Chapter 12)*

1. Physical inventories are necessary to check on the effectiveness of the inventory procedures to provide adequate and accurate information on the investment in physical property.

2. Monetary value must be attached to each item of physical property. The College submits to the State Comptroller, for incorporation in the annual report to the legislature, the total monetary value, as of June 30, of physical property for which the College has management responsibility.

3. The primary basis of accounting for property is cost to the College. Where costs are either not known or not measurable, reasonable estimates or alternative methods, e.g., appraised values may be used. Equipment with a value greater than $50,000 will be depreciated in accordance with standard accounting procedures.

4. An annual inventory as well as random physical inventories may be taken, at the discretion of the institution, on the basis of such factors as the nature and value of property, physical security, control
procedures relating to the receipt, issuance and custody of property, any external reporting requirements, and the results of previous inventories.

5. A physical inventory of property will be taken annually as of June 30 and the inventory will be kept current.

6. Differences between quantities determined by physical inspection and those shown on the inventory records should be reconciled to determine the cause of the difference and to identify improvements in procedures to prevent errors, losses or irregularities.

7. The department responsible for the equipment will assist the Storekeeper/IT Department in an inventory of its holdings and will complete the approved forms.

8. Responsibilities for taking a physical inventory and approving adjustments arising from the inventory should be segregated. The Storekeeper will report needed adjustments to the Comptroller who will approve any adjustments.

8. Perpetual inventory records should be maintained.

10. When necessary, adjustments should be made to financial and inventory records to reflect the results of the physical inventory.

C. Receiving

1. All incoming items should be processed through the Storekeeper.
2. Quantities received should be compared against shipping invoices and purchase orders by Cost Center Director of the Department that placed the order.
3. Purchasing and receiving functions are segregated.

D. Storage

1. Unused furnishings should be safeguarded against theft by being kept in locked buildings, rooms or cages, access to which is granted only to authorized personnel.
2. Furnishings should be stored in an orderly and systematic manner to facilitate handling and inventory control.
3. Furnishings should be protected against physical deterioration.
7.000

INFORMATION TECHNOLOGY
7.100 ACCEPTABLE USE POLICY

1. General Principles

Having access to computer systems and networks owned or operated by Holyoke Community College imposes certain responsibilities and obligations and is granted subject to College policies, local, state and federal laws. Acceptable use always is ethical, reflects academic honesty, and shows restraint in the consumption of shared resources. It demonstrates respect for intellectual property, ownership of data, system security mechanisms, and individuals' rights to privacy. Additionally, the privilege of accessing the college’s computer networks carries certain responsibilities for all users of desktop and laptop computing systems. These include, but are not limited to, performing required operating system updates, ensuring proper anti-virus software is installed and periodically run, maintaining adequate data backups and protecting the systems integrity.

Guidelines

In making acceptable use of resources you must:

- Never place hardware or software, from an outside vendor or private party on the network. All computers accessing the campus network from on campus must be purchased, maintained, screened, secured and set up for operation by ITD.
- Individual end users are personally responsible for their data backups and storage. ITD plays no role in the management of end user data, but will provide training during orientation and other course offerings.
- Use resources only for College business and for purposes authorized by the College.
- End users are responsible for all activities on your user id or that originate from your system that result from your negligent failure to protect your user id or to protect against such unauthorized use.
- Access only files and data that are your own, that are publicly available, or to which you have been given authorized access.
- Be sensitive to the concerns of the taxpayers who support us.
- Use only legal versions of copyrighted software in compliance with vendor license requirements.
- Be considerate in your use of shared resources. Refrain from monopolizing systems, overloading networks with excessive data, or wasting computer time, connect time, disk space, printer paper, manuals, or other resources. Individual end users are responsible for ensuring their operating system and anti-virus software is updated and that a college provided anti-virus program is periodically run to protect their desktop/laptop from infection.

In making acceptable use of resources you must NOT:

- Use College resources to access obscene sites; these are off limits.
- Use another person's system, login, password, files, or data.
- Use computer programs to decode passwords or access control information.
- Download or display obscene material.
- Circumvent or subvert or attempt to circumvent or subvert system or network security measures.
- Engage in any activity that might be harmful to systems or to any information stored thereon, such as creating or propagating viruses, disrupting services, or damaging files.
- Use College systems for commercial, personal or partisan political purposes, such as using electronic mail to circulate advertising for products, for political candidates or for any profit-making company, an enterprise or yourself.
- Make or use illegal copies of copyrighted software, store such copies on College systems, or transmit them over College networks.
- Download any on-line software without authorization of the Director of IT Services or the Chief Information Officer.
- Use the network for purposes that place a heavy load on scarce resources (e.g., dial-in phone lines).
• No member of the community may, under any circumstances, use Holyoke Community College’s computers or networks to libel, slander, or harass any other person. The following shall constitute Computer Harassment: (1) Intentionally using the computer to annoy, harass, terrify, intimidate, threaten, offend or bother another person by conveying obscene language, pictures, or other materials or threats of bodily harm to the recipient or the recipient’s immediate family; (2) intentionally using the computer to contact another person repeatedly with the intent to annoy, harass, or bother, whether or not any actual message is communicated, and/or where no purpose of legitimate communication exists, and where the recipient has expressed a desire for the communication to cease; (3) intentionally using the computer to contact another person repeatedly regarding a matter for which one does not have a legal right to communicate, once the recipient has provided reasonable notice that he or she desires such communication to cease (such as debt collection); (4) intentionally using the computer to disrupt or damage the academic research, administrative, or related pursuits of another; (5) intentionally using the computer to invade the privacy, academic or otherwise, of another or the threatened invasion of privacy of another.

• Waste computing resources, for example, by intentionally placing a program in an endless loop or by printing excessive amounts of paper.

• Use the College’s systems or networks for personal gain; for example, by selling access to your login or to College systems or networks, or by performing work for profit with College resources in a manner not authorized by the College.

• Use the College’s systems or networks to transmit any material in violation of United States or Massachusetts laws or regulations.

• Engage in any other activity that does not comply with the General Principles presented above.

2. Enforcement

College officials will review alleged violations of Acceptable Use policies on a case-by-case basis. Violations of policy will result in appropriate action, such as: loss of electronic mail privilege, loss of computer privilege, consideration of appropriate disciplinary measures and/or referral to appropriate authorities responsible for enforcing state and federal laws concerning computer use.

Users who breach this code of practice may, after due process, be refused access to the College’s computer and communications networks and may be subject to further disciplinary action. In an emergency, in order to prevent further possible unauthorized activity, the College may temporarily disconnect that user from the network. If this is deemed necessary by College staff, every effort will be made to inform the user prior to being disconnected, and every effort will be made to re-establish the connection as soon as the College determines it is appropriate.

The College considers any violation of acceptable use principles or guidelines to be a serious offense and reserves the right to copy and examine any files or information residing on College systems allegedly related to unacceptable use. Violators are subject to disciplinary action as prescribed in student and employee policies, handbooks, or contracts. Offenders also may be prosecuted under laws including (but not limited to) the Privacy Protection Act of 1974, The Computer Fraud and Abuse Act of 1986, The Computer Virus Eradication Act of 1989, Interstate Transportation of Stolen Property, Family Educational Rights and Privacy Act (20 U.S.C. Section 1223g), Massachusetts Wiretap Statute (G.L. c.272, Section 99), Massachusetts Privacy Statute (G.L. c. 214, Section 1B), Copyright Infringement laws (17 U.S.C. Section 101 et seq.), the Communications Decency Act of 1996 (47 U.S.C. Section 223 (d) - (h)) and the Electronic Communications Privacy Act of 1986 (18 U.S.C. Sections 2510-21, 2701-10, 3121-27). Access to the text of these laws is available through the Reference Department of the Library of Holyoke Community College.

If you have reason to believe that this policy is being violated, you should report it as follows:

• Student violations to the Vice-President for Student Development and Enrollment Services
• Staff violations to the Vice-President for Administration and Finance
• Faculty violations to the Vice-President for Academic Affairs
3. **Use Priority**

While supporting the general principle of open and universal student access, eligibility for systems access will be determined by the following priorities if insufficient resources are available:

- The highest priority is awarded to students where network access is a mandatory requirement of a course in which they are currently enrolled.
- At the next level, access will be granted where there is a demonstrated, but non mandatory requirement for network access as described in a course guide.
- The lowest or non-essential level of access will be based upon the general principle of universal access and support for academic pursuit while not directly stipulated within a prescribed course of study.

4. **Privacy**

Computers owned by the College are provided for business and educational use only. Note that the College retains ownership of all communications as business records and these records may be subject to discovery in litigation. Any information on a College computer may be subject to the state’s public records law and may therefore be subject to disclosure on request. By using computers on campus, employees are waiving their right to privacy and are consenting to College review and monitoring of communication and of their computer use. The College does not routinely monitor computer files or content unless it has received notice of possible misuse, security incident or violation of policy.

But in the course of routine maintenance, the content of your computer files may become visible and an apparent violation may be reviewed. The authorization to review files and computer logs rest with the President, who may delegate this responsibility to the CIO or Chief Financial Officer.

Private communications across the College's data networks will have the same protection as private communications via telephone. Unauthorized interception, reading, copying or modifying of private electronic data by a student or an employee will be in breach of this policy and subject to disciplinary or legal proceedings. The College will not guarantee this privacy as a result of routine maintenance, technical fault or criminal activity. See also comments under the Electronic Mail Policy; note that any electronic mail message may be forwarded by the recipient or printed and distributed. The privacy of e-mail, therefore, cannot be guaranteed.

Further:

Except in the course of investigation of an alleged violation of policy or a security incident, no College employee will be permitted to intercept, read, copy or modify private electronic data (either in transit across a network or stored within a computer system) without the written consent of the President or the consent of the addressee or sender.

While the College will endeavor to maintain the privacy of personal communications, it will monitor traffic load, and where necessary, take action to protect the integrity and operation of its networks.

Further the College will:

Collect utilization statistics based upon network address, network protocol and application use.

Progressively restrict non-essential users where network utilization results in performance degradation. Such restriction will be publicized to users through appropriate means.

5. **Security**

The College does not permit the transfer of logins and passwords between authorized and non-authorized persons. Such action is deemed unacceptable and will be the subject of disciplinary action.

Please refer to the [online version](#) of this document as the most up-to-date copy.
Further:

Persons requiring systems access may not borrow another person’s login. That person must request his/her own login from the appropriate staff member i.e. Product Manager, CIO or Vice President.

If it is necessary to allow an authorized third person to access a user’s files or data, as in the case of illness or changing of positions, this information will be transferred by the system administrator rather than via the transfer of the login and password, Banner users will contact their respective Product Manager, Network and email accounts are administered by ITD.

Staff user accounts and all data found in staff user accounts will be removed from all College facilities following the termination of employment.

Banner security and password protection is the responsibility of the respective supervisor and the individual end user. Each supervisor, working through their respective product manager and vice president will initiate training that will result in password authorization and issue orders for password revocation. Revocation can be for cause or at the end of employment and is processed through the Banner Product Manager. Password for network access will be changed every semester and Banner passwords changed every 180 days. These changes will be forced by the respective systems administrator.

6. Eligibility for and Cost of Accounts

The following persons are eligible to hold accounts on the College computer network:

- All registered students (credit and non-credit)
- Employees (full or part-time)
- Members of the Board of Trustees (as space allows)
- Members of the Board of Directors of the HCC Foundation (as space allows)
- Retired employees of the College (as space allows and with consent of HR)
- Guests/Visitors using campus resources

Holyoke Community College owns all computer accounts and grants to the user the privilege of using such accounts. There is no cost to employees, retirees, Trustees or Directors for computer accounts, but file space will be limited for all users.

7. Electronic Mail Policy

General:

Electronic mail (email) is an official method of communication at the college, delivering information in a convenient, timely, cost-effective and environmentally sensitive manner. Printing and manual distribution of emails is highly discouraged and cost prohibitive.

It is the policy of this institution that:

All staff, faculty, students and applicable personnel have access to email, and the College may send official communications via email and electronic mailing lists

Privacy Issues:

While email is personalized and relatively confidential, there is no guarantee of absolute privacy in a computer system. Computer users should be aware that state law applies to records stored in computers as well as on paper. Recent rulings indicate that the public has a right to review any documents created on email by government officials and that companies who own the media on which email is implemented have the right to read that email. Federal and state law may require the College to examine email under some circumstances including provision of messages to outside agencies. However,
employees of Information Technology Division at the College are prohibited from accessing information for which they have no job-related "need to know." They are also expected to maintain the strictest confidentiality regarding any information obtained during the course of fulfilling their job function.

Appropriate Use of Email:

Use of electronic mail is to be consistent with the Acceptable Use Policy of Holyoke Community College. Use of HCC computers for electronic mail that is not consistent with our Acceptable Use Policy may result in termination of electronic mail privileges. Electronic mail should be used as a source of information and efficient communication by students, faculty and staff.

Guidelines: Sending Messages:

- Create single subject messages whenever possible.
- Exercise caution. The confidentiality of your message cannot be guaranteed. Messages can be misdirected and/or be forwarded by recipients to other electronic mail addresses.
- Because messages can be saved on storage media or be forwarded to recipients at other electronic mail addresses, assume that any message you send is permanent.
- Separate opinion from non-opinion and clearly label each.
- If emotion is included in a message, clearly label it.
- Identify yourself clearly.
- Be selective in sending messages to list serves, interest groups, bulletin boards, etc.
- Do not insult or criticize third parties without giving them a chance to respond.

Receiving Messages:

- If you receive a message intended for another person, notify the sender.
- Avoid responding while emotional.
- If a message generates emotion, look again.
- Avoid signing up for unnecessary outside newsletters or distribution lists using our HCC email address.

Spoofing, Phishing and Spear Phishing

Spoofing is when a user impersonates another device or user in order to steal data, spread malware, or bypass access controls. Phishing is the fraudulent attempt to obtain sensitive information such as usernames, passwords, Social Security numbers, credit card numbers or other Personally Identifiable Information (PII), by disguising oneself (spoofing) as a trustworthy entity in an email. Spear phishing is a form of phishing that targets an individual or business by using publicly available information from social media or a company website.

These and other scams use social engineering techniques to persuade a target into providing information or performing an action that would not otherwise be provided or done.

Social engineering techniques include the use of urgent language and threat of consequences, such as your account will be disabled if you do not verify it now. This includes a short timeframe for action to prevent thinking about the situation.

HCC ITD will never ask for your password or have you verify your password via email. You verify your account every time you log in.

8. Use of Copyrighted Materials

The College recognizes that accomplishment of its mission may be facilitated by the use of works owned or created by others. All faculty, staff and students shall recognize those accomplishments by respecting the intellectual property of others and using such works only to the extent such use is permitted by law.
This policy shall apply to students, employees, and other individuals who use College equipment and/or facilities and to students, employees, and other individuals who use off-campus non-College facilities and/or equipment in connection with College related activities or on behalf of the College. For example, this policy applies when photocopying is undertaken at a commercial copying center, at a self-service coin-operated machine in the library, or on any other reproduction equipment owned or leased by the College or used in connection with College activities or on behalf of the College.

Employees and other individuals subject to this policy who use material originated by others shall not, as a matter of policy, when using such materials, infringe on those rights of the originator which are protected by copyright laws and shall secure permission to use or reproduce copyrighted works when such permission is required under copyright law and/or pay royalties when such payment would be required. Employees and other individuals subject to this policy are expected to obtain permission from the copyright owners unless the intended use is clearly permitted under the doctrine of "fair use."

"Fair Use" shall not be abused. The College will not tolerate copying instead of purchasing copyrighted works where such copying would constitute copyright infringement.

For purposes of this policy copyrighted material means any work or intellectual property which may be subject to copyright under the laws of the United States. This includes but is not limited to literary works, including computer programs and compilations; musical works, including any accompanying words; dramatic works, including any accompanying music; pantomimes and choreographic works; pictorial, graphic, and sculptural works; motion pictures and other audiovisual works and sound recordings. For example, this policy applies to photocopying for classroom use, use of computer software, use of videocassettes, and off-air videotaping, CD’s, DVD’s or other media types.

This policy is not intended to waive any rights, remedies, immunities or defenses available to the College in the event of an infringement or alleged infringement of the copyright law and such rights, remedies, immunities and defenses are specifically reserved.

9. Password Policy

General Policy Provisions:

Passwords are an essential aspect of computer security, providing important front-line protection for electronic resources by preventing unauthorized access. Passwords help the college limit unauthorized or inappropriate access to various resources at HCC, including user-level accounts, web accounts, email accounts, screen saver protection, and local router logins as well as Banner accounts.

A poorly chosen password may result in the compromise of HCC systems, data or network. Therefore, all HCC faculty and staff are responsible for taking the appropriate steps, as outlined below, to select appropriate passwords and protect them. Contractors and vendors with access to HCC systems also are expected to observe these requirements.

A department and/or system administrator may implement a more restrictive policy on local systems where deemed appropriate or necessary for the security of electronic information resources. The Information Technology Division or Banner Product Managers can require a more restrictive policy in protection of confidential data.

Creation of Passwords for HCC related systems

Passwords created by users of college systems, should conform to the following guidelines:

- Must be different than the user’s login name or the reverse of the name and must avoid use of knowable personal information (names of family, etc.).
- Must be a minimum of 8 characters.
- Must contain at least one capital letter, one lowercase letter, one number and/or special character or symbol.
- It CANNOT contain part of the username.
- These provisions will be enforced electronically whenever possible.

Please refer to the online version of this document as the most up-to-date copy.
• Changing passwords

Passwords for network access, Email, Moodle, Rave, and Online Services will be changed every 180 days and Banner passwords every 90 days. These changes will be forced by the respective systems administrator. The new password must differ from the old password by at least three characters.

Protecting a password

• Passwords should be treated as confidential information.
• Passwords should never be written down or posted for reference.
• Passwords should not be included in email messages or other forms of electronic communication.

Sharing a password

• Sharing or allowing another person to use an individual account password is a violation of this policy, unless the person is an information technology professional assisting you with a technical problem. Departmental account passwords should be shared only with appropriate departmental personnel.
• It is recommended that passwords be changed after allowing use as permitted in this section.
• Approval of ITD is required prior to sharing a password with a vendor (approval may be granted on a one-time or continuing basis), and this vendor access may require implementing the appropriate technology infrastructure to accommodate the access (depending on the circumstance, and as determined by ITD). Vendors or consultants accessing HCC systems should be made aware of this Acceptable Use Policy.

Reporting a password compromise

• Suspected compromises of passwords must be reported immediately to the Help Desk at x2075
• The password in question should be changed immediately.

Responsibilities of Information Technology Division

ITD may require a more restrictive policy, such as stronger passwords, in some circumstances.

ITD or its delegates will perform regular security scans for violations of acceptable use or breeches of security.

In the event of a suspected security issue or account compromise, ITD may need to reset the password to gain access to the account for analysis or to disable the account altogether. Any action taken on the part of ITD will be only to safeguard the integrity and security of the HCC systems. ITD strives to maintain the highest level of confidentiality and privacy in regards to anything discovered during the course of an investigation that is unrelated to the acceptable use of HCC systems.

Consequences

Any individual who violates this policy may lose computer or network access privileges and may be subject to disciplinary action in accordance with acceptable use policy of the college, which may result in a range of sanctions up to and including suspension or dismissal for repeated or serious infractions.
Banner2000 is an integrated system that shares pieces of data across the different modules. This means that pieces of data that are used by each module, such as name, address, gender, date of birth, etc. are entered once. This sharing of data reduces administrative burdens in each office area and allows for consistency of information for the entire institution. However, because data is shared, all offices that use this data must agree on the way that it is initially entered into the system, how to search for records to avoid duplicates, and how changes are made to that data.

A sub-group was created from the original members of the Data Standards team consisting of Team Leaders Linda Szalankiewicz, Kathy Keene, Susan Stano, Terry Turban and Ed Condel who were charged with creating a style manual designed to make inputting information to Banner uniform campus-wide. The information on the following pages is a result of their efforts.
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Please refer to the online version of this document as the most up-to-date copy.
HOLYOKE COMMUNITY COLLEGE
Banner Data Entry Standards and Guidelines

PURPOSE

Since Banner is an integrated system, a person/vendor will have only one record. General information captured in this record is specific to the person/vendor and not to their involvement with one specific office at Holyoke Community College. All other modules/applications (Finance, Financial Aid, Resources and Student) are dependent on information maintained in this record. Therefore, the purpose of data standards is to establish a consistent set of data elements and associated standards in order to facilitate effective management of shared institutional data by all other Banner systems. These standards apply to all other college supported data systems which will interface with the Banner database system.

ADMINISTRATIVE RESPONSIBILITY

By law, certain data is confidential and may not be released without proper authorization. Users MUST adhere to any applicable federal and state laws as well as college policies and procedures concerning storage, retention, use, release, and destruction of data.

Division/department heads will ensure that, for their areas of accountability, each user is trained regarding user responsibilities. As part of that training, each user will read, understand, and agree to abide by the stipulations in this document. Access to data will not be authorized until training is completed and certified.

Data is a vital asset owned by the college. All institutional data, whether maintained in the central database or copied into other data systems remains the property of the College. Access to data is not approved for use outside a user's official college responsibility. Data will be used for legitimate College business only.

Division/department heads will ensure a secure office environment with regard to all college data systems. Division/department heads will determine the data access requirements of their staff as it pertains to their job functions before submitting a BANNER Access Request Form.

As a general principle of access, the college's data (regardless of who collects or maintains it) will be shared among those employees whose work can be done more effectively by knowledge of such information. Although the college must protect the security and confidentiality of data, the procedures to allow access to data must not unduly interfere with the efficient conduct of college business.

All procedures and data systems owned and operated by the College will be constructed to ensure that:

- All data is input accurately.
- Accuracy and completeness of all data is maintained.
- System capabilities can be re-established after loss or damage by accident, malfunction, breach of security, or natural disaster.
- Breaches of security can be promptly detected and controlled.

ACCESS TO COLLEGE DATA

Below are the requirements and limitations for all college divisions/departments to follow in obtaining permission for inquiry and update access to the College's data. All users must understand that data security is every user's responsibility.

Users are responsible for understanding all data elements that are a function of his/her job responsibilities. If a user does not understand the meaning of a data element, the user should consult his/her supervisor or the appropriate Data Manager. (See
Data Manager section.) Users MUST protect all College data files from unauthorized use, disclosure, alteration, or destruction.

Users are responsible for the security, privacy, and control of data in their control. Users are responsible for all transactions occurring during the use of his/her log-in identification (ID) and password. USERS ARE NOT TO LOAN OR SHARE THEIR ACCESS CODES WITH ANYONE. If it is found that users are loaning or sharing their access codes, they are subject to disciplinary action, as stated in their usage agreement.

Division/department heads MUST request access authorization for a user under their supervision by completing and submitting a BANNER Access Request Form to the required Data Manager. The Data Manager will review the request and may approve or deny it. Once the request is approved, the request form will be forwarded to the BANNER Security Administrator for processing. If the request is denied, the division/department head may follow the established appeals procedure. Under no circumstances will access be granted without written approval of the division/department head and the Data Manager or as a result of the appeals procedure. (See Appeals Procedure section.)

**APPEALS PROCEDURE**

If a user is denied access by a Data Manager, the user can appeal the decision by writing a request for review of the decision to the Executive Steering Committee. The request for review should include the following information: (1) description of the specific data access request, (2) justification for access to the data, and (3) the name of the Data Manager who denied access to the data. The Steering Committee will contact the Data Manager for a written explanation of why access was denied. The Steering Committee will consider the information and then either uphold the Data Manager's decision to deny access, or overrule the Data Manager and permit access. The Steering Committee's decision will be final. The Steering Committee's written decision and justification will be permanently kept in the office of the BANNER Security Administrator. Copies will be forwarded to the user and the Data Manager.

**INFORMATION ACCESS DEFINITIONS**

There are various levels of access available through the security features of SCT Banner system and the Oracle Database structure. The various levels of security that are available will change role to role and are unique to each user's logon ID and password.

- **Inquiry-only** access enables the user to view, analyze, but not change, college data. If data is downloaded to a personal computer or other device, that data must not be altered.

- **Create/Insert** access allows users to create new records on the associated forms. Examples would include being able to create a person record, processing a person as a recruit or applicant.

- **Update** access provides both inquiry and update capabilities. Update capability is generally limited to users directly responsible for the maintenance or editing of the data. Update access allows a user to change fields associated with a person. Editing of fields may be limited to certain people based on the privacy and needed accuracy of the field (e.g., Social Security number, major, award detail).

- **Delete** allows the user to delete certain parts of records or various data elements from the Banner system. This access will be provided on an "as needed" basis due to the sensitivity of deleting information from Banner. Note: It is not possible to remove a person/vendor record from the Oracle Database through Banner forms.

**SECURED ACCESS TO DATA**

BANNER classifications will be established based on job function such as enrollment services clerk, faculty, counselor, etc. Specific capabilities will be assigned to each classification. Each user will be assigned a classification, or possibly several classifications, depending on their particular needs as established by their division/department head and approved by the Data Manager(s).
DATA MANAGERS

HCC Product Managers will be designated as Data Managers for their respective Banner tables, forms, processes or reports. The Data Managers may make data within their charge available to others for the use and support of the office or department's functions.

Before granting access to data, the Data Manager must be satisfied that protection requirements have been implemented and that a “need to know” is clearly demonstrated. By approving user access to college data, the Data Manager consents to the use of that data within the normal business functions of administrative and academic offices or departments.

Data Managers are responsible for the accuracy and completeness of data files in their areas. Misuse or inappropriate use by individuals may result in revocation of the user's access privileges.

DATA CHANGE RULES FOR NAME, SOCIAL SECURITY, DATE OF BIRTH

The following rules govern which office is authorized to make name, social security, date of birth changes to student, employee or vendor records in the integrated administrative system called BANNER. These rules are subject to change as new procedures are defined and implemented.

<table>
<thead>
<tr>
<th>If the person is....</th>
<th>Then....</th>
<th>Documents required...</th>
</tr>
</thead>
<tbody>
<tr>
<td>A current student</td>
<td>Designated staff in Enrollment Services (Admissions, Continuing Education, Registrar's) make the change</td>
<td>Name change documentation (marriage/divorce/court order) legal document/picture license Date of Birth: birth certificate Social Security Number: copy of social security card</td>
</tr>
<tr>
<td>An outside vendor</td>
<td>The Business Office makes the Change</td>
<td>Name change: no document required.</td>
</tr>
<tr>
<td>An applicant for admission</td>
<td>Designated staff in Enrollment Services (Admissions, Continuing Education, Registrar's) make the change</td>
<td>Name change documentation (marriage/divorce/court order) legal document/picture license Date of Birth: birth certificate Social Security Number: copy of social security card</td>
</tr>
</tbody>
</table>

It has been determined by the committee that based on the uniqueness of information required to change such information, only the specified offices will be responsible for changes as indicated above. If a person belongs in multiple categories, the responsibility defaults to the primary category they belong in.

There is a significant impact with the change of a social security number and/or birthday in the Banner system. Various offices including Admissions, Continuing Education, Financial Aid, Registrar's, and Student Accounts all share this data and are dependent on its accuracy. When a person falls into multiple categories (ie. student and student employee), there are various procedures and communications that need to occur between these offices for effective reporting, reconciling of data and new forms to be filed (I-9s, etc.). If you have access to maintaining Social Security Number in Banner, please refer to your appropriate office manual section on how/when to change a Social Security Number.
DATA CHANGE RULES FOR ADDRESS AND TELEPHONE TYPE

The following rules govern which office is authorized to make changes to address and telephone type to student, employee or vendor records in the integrated administrative system called BANNER. These rules are subject to change as new procedures are defined and implemented. Refer to Section 6 for a list of address types.

<table>
<thead>
<tr>
<th>If the person is...</th>
<th>Documents required...</th>
</tr>
</thead>
<tbody>
<tr>
<td>A current student</td>
<td>Designated staff in Enrollment Services (Admissions, Continuing Education, Registrar's) may change all address and telephone types except Initial Registration. Form completed by student is required.</td>
</tr>
<tr>
<td>An outside vendor</td>
<td>The Business Office may change the MA for all outside vendors.</td>
</tr>
<tr>
<td>An applicant for admission</td>
<td>Designated staff in Enrollment Services (Admissions, Continuing Education, Registrar's) may change all address and telephone types. Form completed by applicant is required.</td>
</tr>
</tbody>
</table>

RULES FOR CLEAN and ACCURATE RECORDS

SEARCH FIRST! Before you create a new record for a person or organization, you MUST conduct a name search to make sure that the person or organization has not already been entered in the BANNER database. Each user in every office MUST conduct a thorough search to prevent entering duplicate records. See Section 1.4, Best Search Practices to Avoid Duplicate Records.

ABBREVIATION APPENDIX! When entering data using abbreviations, you MUST comply with the standards shown in the appendices.

DATA CHANGES! Make data changes ONLY when you have that authority and when you follow the procedures established by the Data Manager of that data you want to change.

REMEMBER! Some data fields have specific data entry rules. See the specific section under General Person Information for those rules.

1. General Guidelines

1.1 Identification Number

The Steering Committee has accepted the Data Standards Work Team recommendation to continue to use a system-Generated ID (and not social security number) as the Key Identifier in the Banner system for both person and non-person (vendor) records. This is a 9-digit number generated by the Banner system. Social security numbers will still be collected and will be stored on the General Person form (SPAPERS).

1.2 Data Entry

Please refer to the online version of this document as the most up-to-date copy.
All names and addresses should be entered using conventional upper and lowercase letters and standard capitalization rules. There are some names which legally begin with lowercase and should remain as lowercase.

In general, words should be spelled out and not abbreviated. When space limitations require abbreviations, abbreviate the last word on the line. See Appendix for a list of standard abbreviations.

Punctuation should be entered in the name and address fields only when it is part of the official name.

The following symbols should be avoided in any Banner field as these characters are often used in applications for specific functions, which may interfere with data entry and retrieval performance:

```
# % $ * : ; “
```

For a full explanation of the rules for entering data, refer to the appropriate sections for each field of data being entered.

### 1.3 Sorting Rules

Data will sort in ascending order using the following hierarchy (ORACLE sorting rules). The most frequently used characters are listed below in ascending order.

<table>
<thead>
<tr>
<th>Character</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>blank</td>
<td>blank</td>
</tr>
<tr>
<td>-</td>
<td>apostrophe</td>
</tr>
<tr>
<td>-</td>
<td>hyphen</td>
</tr>
<tr>
<td>0-9</td>
<td>numbers</td>
</tr>
<tr>
<td>A-Z</td>
<td>uppercase</td>
</tr>
<tr>
<td>a-z</td>
<td>lowercase</td>
</tr>
</tbody>
</table>

Example of sort list: (spaces are sorted first and lowercase letters are last)

- De Vita
- DelPonte
- Dennis
- Doe
- Durr
- deLisle

### 1.4 Best Search Practices to Avoid Duplicate Records

In a shared system environment such as Banner, the way you search for records becomes just as important as the way you input a record's information. Data can come into Banner from a variety of outside sources: SAT data loads, direct mail campaigns, Financial Aid records, off campus data entry. In most of these cases, there is a chance that records in Banner will not conform to the standards that we use to enter our own records; therefore, to avoid creating duplicate records, it is important to adhere to the guidelines outlined in this section before adding a new record to Banner. Creating a duplicate record for a person/vendor can lead to a loss of data. Removal of a duplicate record can only be done by the DBA (data base administrator).

Searches in Banner can be performed in various ways. In each major system, there are search forms that give varying degrees of detail (e.g. - SOADDRQ gives a summary of addresses related to the person/vendor you are searching for. In most cases, a search form will help verify the identity of someone in Banner to the record you are attempting to access.

Below is a list of guidelines that must be followed to search for records before creating a new person/vendor in Banner. A thorough search of the system is necessary to avoid creating duplicate records.
1. From the "Key Block" on the top of any form, clear any data from the ID field and TAB into the name field.

2. Enter the first few characters (3) of the last name followed by the Oracle wildcard "%" followed by a comma, followed by the first few characters of the first name (3) - again followed by the Oracle wildcard ".". Then hit ENTER. The wildcard represents any number of unspecified characters that will follow the string.

To search for Robert McDonald, enter the following information in the name field of the "Key Block" and press enter.

```
mcd%,rob%
```

Note: The extended search function from the key block is not case-sensitive, will disregard spaces, and will compare the two strings. Entering the above sample information string, the following records would be retrieved by Banner:

- Robert McDonald
- Roberta Mc Donough
- Robin Mc Daniels
- Rob MC Davies

3. Using the above example, there are three potential results of the extended search which are documented here:

   a. If one unique match is found, the ID and name are automatically returned to the key block of the form. You can then fill in any other required field of the key block and enter into the form to process the information.

   b. If no match is found, no records will be retrieved and the message "*ERROR* Name Invalid" will appear at the bottom of the screen. See below "Further Advice on Searching" before creating a new record.

   c. If more than one match is found, the ID and Name Extended Search window will appear (See figure 1). The field next to the Search Results field shows the number of matches retrieved. Continue on to step 4.

4. If the extended search window appears, you must narrow your list of matches to find the proper record. If the number of matches is modest (under 10), you can click on the scroll bar and view the entire list in the menu bar at top (See figure 2).

Note: Previous names and ID's are indented under the current name and ID. Click on the desired name and ID and the information will be returned to the calling form. Clicking on the "Person Search Detail" or the "Non-Person Search Detail" folder will bring you to the SOAIDEN form.

5. Or to refine your search in the ID and Name Extended Search window:

   Select the Person, Non-Person, or both radio buttons in the "Reduce Search By" block. Your choice identifies the type of records you want to search. The field next to the Search Results field shows the number of matches.

   Enter your search criteria in the fields in the "Reduce Search By" block. If you know the person's birth date, gender, SSN, city, or home state, enter this information into the appropriate fields. Wildcards can also be used (e.g., if a person only knows part of his/her SSN, you could enter "034%" in the SSN field.

   Click the Search button (flashlight) or select Execute Query (blue arrow). The field next to the Search Results field will now show the new number of matches, which should now be lower.

6. Repeat steps 2 and 3 to further refine your search. If you find the match this way, scroll to the desired ID, double-click, and the name and ID are returned to the calling form.
Further Advice on Searching

Verify the accuracy of the information used to conduct your search. If your search produces no matches, attempt a variation of first or last name before creating a new record. Still using the Robert McDonald example, if your search fails then:

1. Try entering **med%,Bob** in case the first name has been entered into Banner as its common nickname.

2. Enter **macd%,rob%** to search for alternate spellings of McDonald, such as MacDonald.

3. For a combination of both of these approaches, there is one search string that could be entered which would search for all these variations:

   \[
   \text{m%c%d%},\%ob\%
   \]

   In this string, \text{m%c%d%} is looking for last name with "m" followed by anything (including a blank), "c" following by anything (including a blank), then "d" followed by anything (including a blank). The first name is looking for any first name with "ob" in it, which covers Robert and Bob with one search.

   Becoming familiar with various extended searches is critical to ensure the integrity of the data housed in the Banner system.

There is an overall systems form, **GUASYST**, which can help in providing a snapshot of detail on a person/vendor. From the top of this form, you can perform an extended search. The body of the form provides a snapshot of the systems in which a person/vendor record has detail (admission applicant, financial aid applicant, vendor, etc.). In verifying the identity of a person, you can use this page to see where else in Banner a person already has existing data.

Within each Banner system there are various search forms that provide a level of detail beyond an extended search. In some systems you can search off of addresses, high school data, student aid report fields, etc. Each module's training manual should reflect the Banner forms specific to their functional areas and establish protocols on when it's best to do an extended search and when it is best to use a Banner search form to meet its needs.

**Soundex**

When all your searches have failed to identify a record in Banner, there is one other search you can perform, but only when in the **SPAIDEN** form. When you enter the person/vendor name in the last name field on the form and click on the flashlight at the end of the line, the system will perform a soundex search and identify records with names that would sound like the name you entered. This is particularly helpful if a record was entered with the wrong spelling or if telephone and the caller took information was unclear. If there are matches of records that sound like the name you are entering, a box will appear on the screen which will allow you to access the **SOAIDEN** form and verify if any of the retrieved files match the person you are entering.

### 1.5 Date Standards

Follow these general recommendations when entering dates:

Always enter two digits for the date and month. For example, enter 01 for January, not 1.

Always enter four digits for the year.
   For example, enter 2000 for year 2000, not 00.

If only two digits are entered for the year, Banner will default as follows:
   Years ending in 00 through 49 are converted to 2000 through 2049. Years ending in 50 and above will default to 1950 through 1999. You can override the default by typing in the appropriate year.

A date may be entered without spaces, with dashes (-) or with slashes (/).
For example, February 5, 2001 may be entered as 020501, or 02-05-01, or 02/05/01. Banner automatically converts and stores the date in the DD-MON-YYYY format.

A date field may be left blank if not required on that form.

When you query on a date field, specify all four digits for the century. For example: enter 26-Jun-1999, not 25-Jun-99.

If the century is omitted, the system will default to zeros.

For the example above, Banner would expand the date to 26-Jun-0099, not 26-Jun-1999.

Another shortcut: If entering a date in the current month and year, just type the day. Example: if it's March 2003, by typing 27 in the date field, you will get 27-MAR-2003.

2. Navigation

2.1 General Guidelines

A screen in Banner is called a form. All Banner forms consist of 7 letters. The naming convention is designed in the following manner:

1st position = Primary System owning the form (for example student information will begin with the letter S, Finance information will begin with the letter F)

2nd position = Module Owning the form (for example information concerning general person is indicated by the letter P in the 2" position.)

3rd position = Type of form, report, job or table (for example, the letter I indicates an inquiry form, M indicates maintenance form and V indicates validation form.)

Last 4 positions = Form Name (for example the form SPAIDEN "IDEN" denotes Identification form.)

See Appendix 16.6 for a complete list of codes used in Banner form names.

Banner forms may be accessed directly by entering the form name in the "Direct Access" block in the upper right hand corner of the main menu. If you do not know the form name, a list of menus is displayed on the left side of the screen. When you select a menu, a description of forms will be displayed on the right side of the screen. Banner forms are made up of blocks of information. A line on the form usually indicates there is an additional block below.

A "Hint Line" always appears in the lower left corner of the form to let the user know what is happening. Watch this line for errors or for verification that the process has been saved or completed.

Searches may be done in a variety of Banner fields. A flashlight to the right of a field indicates a search may be done in that field. Searches may be done on partial amounts of information by using a wild card, which is represented by a percent sign "%". The underscore character "_" may be used to search in a single position only. Searches may be done on previous as well as current information. In the case of fields associated with a validation table, searches can be performed on the code or the description field. See Section 1.4, Avoiding Duplicate Records, for information on performing searches.

A field shown in blue indicates that the information comes from a validation table, which is a list of choices for the information that would populate that field. If you double click in this block, you are shown the validation table. Double click on the value you want to select.

Functions may be performed in Banner by selecting an icon on the toolbar or by using a function key. Some of the more frequently used function keys are:

F3 = Generate ID

Please refer to the online version of this document as the most up-to-date copy.
F4 = Record Duplicate
F6 = Record Insert
F7 = Enter Query
F8 = Execute Query
F9 = Search
F10 = Save
Control Page Down = Next Block
Control Page Up = Previous Block
Ctrl + Enter = Previous menu
Shift + F8 = Print
Shift + F7 = Rollback
Shift + F3 = Select
Ctrl + Q = Exit

2.2 General Person Menu Navigation Tables

See Appendix 16.5 to view a list of forms associated with General Person.

3. Names

3.1 General Guidelines

Enter all data using mixed case (upper and lowercase) and standard capitalization rules. Punctuation, hyphens and spaces may be used only when it is part of the legal name.

Titles, prefixes and suffixes are to be entered in their own field and not in the last, first, middle and/or preferred name fields. When using an abbreviation in the prefix/suffix fields DO include a period.

Use "c/o" on the first line of the address, not in a name field, to indicate an "in care of" situation.

Never use the following symbols:
- Parentheses ( )
- Double Quotation (")
- Double Hyphen (_)
- Brackets [ ]
- Ellipsis (...)
- Colon (:)
- Semi-colon (;)
- Pound sign (#)
- Percent symbol (%)
- Asterisk (*)

3.2 Name Fields

The following name fields are located in Banner on the "SPAIDEN" or "PPAIDEN" Identification forms: (See figures 1 and 2)

3.2.1 Last Name: Required field

Enter the legal spelling and format of the last name as provided by the constituent and follow the general guidelines as described above. If a person has only one name, enter the single name in the last name field and place a period (.) in the first name field to satisfy the requirement.

Examples

<table>
<thead>
<tr>
<th>Name</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>O'Neill</td>
<td>Apostrophe</td>
</tr>
<tr>
<td>Del La Rosa</td>
<td>Multiple part last name with spaces and proper capitalization</td>
</tr>
<tr>
<td>VanThomas</td>
<td>Mixed case last name, no spaces</td>
</tr>
</tbody>
</table>

Please refer to the online version of this document as the most up-to-date copy.
First Name: Required field

Enter the legal spelling and format of the first name and follow the general guidelines as described in Section 3.1. Two names may be entered into this field if it is the legal first name. If the legal name is only a single character, place the single character in the first name field.

Example: S John Jones enter S in the first name field and John in the middle name field. If there is no first name, enter a period (.) to satisfy the requirement.

Middle Name: Not a required field

Enter the legal spelling and format of the middle name and follow the general guidelines as described in Section 3.1. If you have just the middle initial, enter the initial only-no period. If there is no middle name or initial, leave this field blank. This field may also be used to identify a pre-marital or maiden name.

3.2.2 Prefixes: Not in use at HCC

Do not use - leave blank.

3.2.3 Suffixes: Not a required field

Enter the suffix (i.e., Jr., III) as indicated by the person and follow the general guidelines as described in Section 3.1. This field may be up to 20 characters in length. Roman numerals are always capitalized and never include a period (II, III). For earned suffixes (M.D., Ph.D degree abbreviations) the standard is all caps with periods, except for Ph.D. (lowercase “h”). Suffixes to be used are below, with abbreviations where applicable:

- Attorney
- Atty
- II
- III
- IV
- V
- Jr.
- Sr.
- M.D.
- Ph.D.

Multiple suffixes may be entered in this field separated with a comma and should be input with inherited suffixes first followed by earned suffixes, such as: III, M.D. or Jr., Ph.D.

3.2.4 Preferred First Name: Not in use at HCC

Do not use - leave blank.

3.3 Alternate Name: Not a required field

In addition to these name fields, if a name is changed because of marriage, divorce, etc., the original name is stored in the "SPAIIDEN" or "PPAIIDEN" forms as the Alternate Name and the new name will appear as the current information. A search can be performed on either the current or the alternate name. To view the alternate name while in this form, select "Alternate Name/ID" under options in the left hand column of the screen.

3.4 Legal name: Not in use at HCC

Do not use - leave blank.
4. Names of a Non-Person (Vendors)

4.1 General Guidelines

Vendors can be companies, organizations, or organizations doing business with the College in a professional capacity. They could include companies, granting agencies, banks, institutions, government entities, students and employees. Vendors will be entered through the FTMVEND form (See figure 1). However, if a vendor name has a prefix or suffix, these need to be added to the record after it is input by accessing the "SPAIDEN" form and follow the guidelines for entering prefixes and suffixes outlined in Sections 3.2.2 and 3.2.3.

Only one record and one identifier should exist for each non-person/vendor. It is important that "SPAIDEN" be searched thoroughly before adding a new non-person to Banner to ensure that it does not already exist. (See Section 1.4, Avoiding Duplicate Records).

4.2 Company Names

Company names should always be entered in the corporation field as listed on an invoice or other company document. Avoid using "The" as the first word in the name for sorting purposes.

Example: The Travelers Corp is entered as Travelers Corp

In the case of d/b/a, the person's name would appear in the business name field and the d/b/a name becomes the first line of the address.

Example: John Doe d/b/a John's Construction
          is entered as
          John Doe (business name field)
          d/b/a John's Construction (first line of address)

For businesses and organizations, avoid using an attention line or "in care of". Reorganizations or turnover make them obsolete quickly. If an attention line or in care of line is necessary, use only an office or title rather than a name. This information should be entered on address line 1.

Example: Attention: John Doe, Controller is entered as Attention: Controller

4.3 Uppercase/Lowercase

All data is entered using mixed case (uppercase and lowercase) and standard capitalization rules.

4.4 Initials and a Person's Name

When a company or organization includes initials and a person's name, they should always be entered without periods after the initials. Names should be entered with spaces between the words.

Example: A E Roberts Company
          David & Gloria Morris Company

4.5 Punctuation

Punctuation should be entered only when it is part of the official name. Commas should not be used before corporate identifiers and periods should not be used after corporate identifiers, even when abbreviated.

Example: Hayes Publishing Company, Inc. enter as Hayes Publishing Company Inc
4.6 Acronyms

Acronyms should be entered with no spaces and no periods between the letters.

Example: IBM USA ABC

4.7 Connective Words

Connective words such as and, in, or, for, etc. are to be entered in all lowercase except if they are the first word of the organization name. The use of "And" "Or" and "&" should be determined by the preference of the company.

Example: Bank of New England Schiff & Associates
        C Brewer and Company Ltd

4.8 Hyphens and Slashes

Hyphens and/or slashes should be entered with no spaces on either side.

Example: Hayes-Albion Corporation Citicorp/Citibank

4.9 Numerals as part of a Name

If a numeral is part of the official corporate name, enter the numeral rather than spelling out the number.

Example: 21st Century Productions

4.10 Abbreviations

In general, company names should not be abbreviated, however, when space limitation requires the use of abbreviations, abbreviate the last word at the end of the line. Unless an organization provides information regarding a preference for an abbreviation, refer to Appendix 16.2 for a list of standard abbreviations. Example:

Acme Cleaning & Maintenance is entered as Acme Cleaning & Maint

5. Street Addresses

5.1 General Guidelines

▪ When entering a new address, always be sure to be in a blank address form. *An inactive address should never be deleted or typed over, to protect the integrity of the history.*

▪ In general, words should be spelled out - not abbreviated. (Specific exclusions are noted below). When space limitations require abbreviations, work right to left - i.e., the words at the end of the line should be abbreviated first. Do not enter periods or any other kind of punctuation. See Appendix 16.1 for list of standard abbreviations.

▪ For multiple address lines, go specific to general, top to bottom.

▪ Enter addresses in mixed case using standard capitalization rules.

▪ Use hyphens in addresses only as needed for clarity or designated formats.

▪ The standard layout for the address deliver line is:

  Primary address number Numerical, not words
  Street name Not abbreviated

Please refer to the online version of this document as the most up-to-date copy.
<table>
<thead>
<tr>
<th>address line 1</th>
<th>Pine Knoll Shores</th>
<th>2320 Huntington Point Road E</th>
<th>5908 SW Knights</th>
</tr>
</thead>
<tbody>
<tr>
<td>address line 2</td>
<td>103 Chestnut Court</td>
<td></td>
<td></td>
</tr>
<tr>
<td>address line 3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>city/state/zip</td>
<td>Pine Shores NC 44993</td>
<td>Wyazata MN 55391</td>
<td>Portland OR 97190</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>address line 1</th>
<th>102 Main Street Apt 1</th>
<th>Apt C</th>
<th>1201 Broad Street</th>
</tr>
</thead>
<tbody>
<tr>
<td>address line 2</td>
<td></td>
<td>5800 Springfield Gardens Circle</td>
<td>PO Box 1001</td>
</tr>
<tr>
<td>address line 3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>city/state/zip</td>
<td>Woonsocket RI 02895</td>
<td>Springfield VA 22152-1058</td>
<td>Falls Church VA 22042</td>
</tr>
</tbody>
</table>

ADDRESS EXAMPLES (See figure 1 for example of address form) Residential/Business Addresses:

- *Always use the abbreviation "Apt" rather than spelling out the word "Apartment". If there is not enough space on the delivery line, place it on address line 1, with the street address on address line 2. Do not enter a "#" sign before a number even if Apt is not used.
- When a compass point (North, South, etc.) appears before a street name, do not abbreviate it except in a very long street address when space is tight.
- Never abbreviate numbers when they are part of the street name.
- When a compass point appears after a street name (N, W, SW, etc.), use abbreviations and omit the comma before the compass point.
- For all U.S. addresses, with only a 5-digit zip code provided, enter the 5-digit zip code in the zip code field first. City and state should then automatically populate. If it does not, you can enter the city and state manually and should report the zip code, city and state to the DBA.
- Enter 9-digit zip as available using a hyphen to separate the first 5 digits from the last 4 digits. The auto-population feature does not currently work with 9-digit zip codes.
- If a mailing address contains both a physical address (street number and name) and delivery address (PO Box), place the PO Box on address line 2. Enter PO without periods.
- For businesses and organizations, avoid using an attention line. Reorganizations or turnover make them obsolete quickly. If an attention line is necessary, use only an office or title rather than a name. Place on address line 1.
- Corporate names "doing business as" (d/b/a) should be entered on address line 1.
- Do not enter corporate titles as part of an address.
- Do NOT enter a Country/Nation code for U.S. addresses. (The U.S. Postal Service does not want USA entered in addresses within the United States.)
5.2 International/Foreign Addresses

The most important rule in foreign addresses is that the name of the country must appear on the last line of the address. A Country/Nation code is required for all non-U.S. addresses and a two-letter abbreviation for Canadian Provinces and U.S. Territories. The Country/Nation code field works off of a validation table. When you click on the box, a list of codes will appear. Click on the appropriate code and information automatically fills in.

International addresses should be entered with a minimum of the following data:

- Address Line
- City
- Country/Nation

Examples of International/Foreign Addresses:

<table>
<thead>
<tr>
<th>address line 1</th>
<th>12 Hobury Street</th>
<th>327 Pleasant Avenue</th>
<th>Graf-Adolf Strasse 100</th>
</tr>
</thead>
<tbody>
<tr>
<td>address line 2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>address line 3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>city</td>
<td>London</td>
<td>North York</td>
<td>Dusseldorf</td>
</tr>
<tr>
<td>state</td>
<td>ON</td>
<td>M2R 2R3</td>
<td></td>
</tr>
<tr>
<td>zip</td>
<td>SW 10 OJB</td>
<td>CANADA</td>
<td></td>
</tr>
<tr>
<td>country/nation</td>
<td>ENGLAND</td>
<td>GERMANY</td>
<td></td>
</tr>
</tbody>
</table>

Refer to Appendix 16.4 for a list of Canadian Provinces and U.S. Territories and their abbreviations as define by the USPS. Enter the two-letter abbreviation for Canadian Provinces and U.S. Territories in the state field in all uppercase letters.

6. ADDRESS/TELEPHONE TYPES

Telephone types are linked to the applicable address types, XX (Accounts Payable) types which would not have a telephone type. An address/telephone is active when the inactive indicator is unchecked AND the To-Date field is blank or has a date in the future. An address is inactive when the inactive indicator is checked OR the To-Date field has a date prior to the current date. Because Banner allows you to store an infinite number of addresses and telephone numbers, an address/telephone should never be deleted. Prior addresses will be kept for historic reasons. As a function of SCT Banner, only one address type of each kind can be active at any given time (e.g. only one “MA” can be active for any given date, but many “MA” addresses, others being inactive, may reside on the address file).

<table>
<thead>
<tr>
<th>Address Type Code</th>
<th>Description</th>
<th>Usage</th>
<th>Telephone Type Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>BI</td>
<td>Billing</td>
<td>An alternate billing address to be used by Student Accounts as an address to which tuition bills should be sent if different from Mailing Address.</td>
<td>BI</td>
</tr>
<tr>
<td>BU</td>
<td>Business</td>
<td>Used primarily to record the Business telephone numbers of evening students. Will have alternate functionality for Finance purposes.</td>
<td>BU</td>
</tr>
<tr>
<td>EM</td>
<td>Emergency Contact</td>
<td>Used to record the telephone number of a person to contact in case of an emergency involving the person.</td>
<td>EM</td>
</tr>
</tbody>
</table>
7. **EMERGENCY CONTACT INFORMATION**

Emergency contact information about students should be entered on the emergency contact form (SPAEMRG in the student system). The emergency contact information is not a true address type because the data is not stored in the regular address file, but in a file of its own.

Priority code is a required field and is simply a number (1-9 with 1 being the first), which designates which order the contact information should be used.

Name is entered LAST NAME first, then FIRST NAME, then MIDDLE INITIAL (if given).

Relationship is entered using a validation table.

Follow standard rules for entering the address information including city, state, and zip code. Address type is tied to the contact not to the student.
Phone is entered as area code first, seven-digit phone number with no dash, and extension if applicable.

8. GENDER CODE STANDARDS
This item must be entered for all students. If a choice is not indicated on the application, then 'N' should be entered.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>Male</td>
</tr>
<tr>
<td>F</td>
<td>Female</td>
</tr>
<tr>
<td>N</td>
<td>Not available</td>
</tr>
</tbody>
</table>

9. ETHNIC CODE STANDARDS
The following are the standards to be used when entering Ethnic Code information, for tracking purposes and for BHE and IPEDS reporting.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>00</td>
<td>Unclassified</td>
</tr>
<tr>
<td>01</td>
<td>White/Non-Hispanic</td>
</tr>
<tr>
<td>02</td>
<td>Black/Non-Hispanic</td>
</tr>
<tr>
<td>03</td>
<td>Amer. Indian/Alaskan Native</td>
</tr>
<tr>
<td>04</td>
<td>Asian/Pacific Islander</td>
</tr>
<tr>
<td>05</td>
<td>Hispanic</td>
</tr>
<tr>
<td>06</td>
<td>Non-resident alien</td>
</tr>
<tr>
<td>07</td>
<td>Cape Verdean</td>
</tr>
<tr>
<td>U</td>
<td>Unknown</td>
</tr>
</tbody>
</table>

10. MARITAL CODES: Not in use at HCC except by Financial Aid
Do not use - leave blank.

11. RELIGION CODES: Not in use at HCC
Do not use - leave blank.

12. CITIZEN TYPE STANDARDS
Citizenship at the General Person level is captured on SPAPERS and will merely track if the person is a US citizen or not. The detail for non-US citizens will be captured more fully on the SPAINTL form to capture visa information, and other associated international documentation, etc.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
<td>US Citizen</td>
</tr>
<tr>
<td>F</td>
<td>Foreign Student</td>
</tr>
<tr>
<td>R</td>
<td>Resident Alien</td>
</tr>
</tbody>
</table>

13. DECEASED INFORMATION
Enter 'Y' if student is deceased. Enter date of death using date standards.
14.  LEGACY  Not in use at HCC

   Do not use - leave blank.

15.  GENERAL PERSON VALIDATION TABLE CHANGES

Any person requesting that additions/changes be made to the General Person tables will need to complete the General Person Data Table Change Form. The request must include the reason for this change and a "required by" date. Once the form has been completed and signed by the requestor's manager, the form can be submitted to the Data Standards Committee. The committee will review the request and determine whether or not the request can be processed. A written notification will be sent to the requestor. This process must be followed before any changes can be made to the General Person Table.

See Appendix General Person Data Table Change Form.

Please refer to the online version of this document as the most up-to-date copy.
**APPENDIX**

**STREET ADDRESSES/ABBREVIATIONS 16.1**

<table>
<thead>
<tr>
<th>NAME</th>
<th>ABBREVIATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alley</td>
<td>Aly</td>
</tr>
<tr>
<td>Apartment</td>
<td>Apt</td>
</tr>
<tr>
<td>Avenue</td>
<td>Ave</td>
</tr>
<tr>
<td>Basement</td>
<td>Bsn</td>
</tr>
<tr>
<td>Beach</td>
<td>Bch</td>
</tr>
<tr>
<td>Boulevard</td>
<td>Blvd</td>
</tr>
<tr>
<td>Box</td>
<td>Box</td>
</tr>
<tr>
<td>Branch</td>
<td>Br</td>
</tr>
<tr>
<td>Bridge</td>
<td>Brg</td>
</tr>
<tr>
<td>Brook</td>
<td>Brk</td>
</tr>
<tr>
<td>Building</td>
<td>Bldg</td>
</tr>
<tr>
<td>Bypass</td>
<td>Byp</td>
</tr>
<tr>
<td>Canyon</td>
<td>Cyn</td>
</tr>
<tr>
<td>Center</td>
<td>Ctr</td>
</tr>
<tr>
<td>Circle</td>
<td>Cr</td>
</tr>
<tr>
<td>Corner</td>
<td>Cor</td>
</tr>
<tr>
<td>Court</td>
<td>Ct</td>
</tr>
<tr>
<td>Creek</td>
<td>Crk</td>
</tr>
<tr>
<td>Crossing</td>
<td>Xing</td>
</tr>
<tr>
<td>Department</td>
<td>Dept</td>
</tr>
<tr>
<td>Drive</td>
<td>Dr</td>
</tr>
<tr>
<td>Estate</td>
<td>Est</td>
</tr>
<tr>
<td>Expressway</td>
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<td>Upper</td>
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<td>Village</td>
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Please refer to the online version of this document as the most up-to-date copy.
<table>
<thead>
<tr>
<th>NAMES</th>
<th>ABBREVIATIONS</th>
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<tbody>
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<td>Admission</td>
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<td>Amer</td>
<td>Incorporated</td>
<td>Inc</td>
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<td>And</td>
<td></td>
<td>Information</td>
<td>Info</td>
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<td>Assoc</td>
<td>Institute</td>
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<td>Co</td>
<td>Limited</td>
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<td>Cooperative</td>
<td>Coop</td>
<td>Management</td>
<td>Mgmt</td>
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<td>Manufacturing</td>
<td>Mfg</td>
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<td>Cou</td>
<td>National</td>
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<td>Dept</td>
<td>Organization</td>
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<td>Publisher</td>
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<td>Society</td>
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<td>Technology</td>
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<tr>
<td></td>
<td></td>
<td>University</td>
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</table>
CAMPUS ADDRESS 16.3

<table>
<thead>
<tr>
<th>BUILDING NAME</th>
<th>CODE</th>
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</thead>
<tbody>
<tr>
<td>Bartley Center</td>
<td>BC</td>
</tr>
<tr>
<td>Center for Health Education</td>
<td>CHE</td>
</tr>
<tr>
<td>Culinary Arts</td>
<td>CAI</td>
</tr>
<tr>
<td>Fine &amp; Performing Arts</td>
<td>C</td>
</tr>
<tr>
<td>Donahue</td>
<td>DON</td>
</tr>
<tr>
<td>Facilities Public Safety</td>
<td>E</td>
</tr>
<tr>
<td>Frost</td>
<td>FR</td>
</tr>
<tr>
<td>Campus Center</td>
<td>G</td>
</tr>
<tr>
<td>Marieb</td>
<td>MRB</td>
</tr>
<tr>
<td>Province/Region</td>
<td>Code</td>
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</tr>
<tr>
<td>Alberta</td>
<td>AB</td>
</tr>
<tr>
<td>British Columbia</td>
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<tr>
<td>Labrador</td>
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<tr>
<td>Manitoba</td>
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<tr>
<td>New Brunswick</td>
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<tr>
<td>Newfoundland</td>
<td>NF</td>
</tr>
<tr>
<td>Northwest Territories</td>
<td>NT</td>
</tr>
<tr>
<td>American Samoa</td>
<td>AS</td>
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<tr>
<td>Federated States of Micronesia</td>
<td>FM</td>
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<tr>
<td>Guam</td>
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<tr>
<td>Marshall Islands</td>
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</table>
**GENERAL PERSON MENU NAVIGATION TABLES 16.5**

General Person Menu  
Access this menu from the main Student System Menu.

<table>
<thead>
<tr>
<th>Code</th>
<th>Form Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SPAIDEN</td>
<td>Identification Form</td>
<td>Use to capture biographic/demographic information relating to all persons/vendors in the system.</td>
</tr>
<tr>
<td>PPAIDEN</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SOADDRQ</td>
<td>Address Summary Form</td>
<td>Used to query and display all of the address information associated with a person, which is currently on the system.</td>
</tr>
<tr>
<td>PPIADDR</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SPATELE</td>
<td>Telephone Form</td>
<td>Used to record the multiple phone numbers a person may have associated with their various addresses. This form may also be accessed from any form, which contains an address.</td>
</tr>
<tr>
<td>PPATELE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SPAPERS</td>
<td>General Person Form</td>
<td>Used to capture further biographic data for persons, such as birth date, citizenship, etc.</td>
</tr>
<tr>
<td>SPACMNT</td>
<td>Comment Form</td>
<td>Used to enter comments relating to a person.</td>
</tr>
<tr>
<td>PPACMNT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SPAEMRG</td>
<td>Emergency Contact Form</td>
<td>Used to collect contact information to be used in case of an emergency.</td>
</tr>
<tr>
<td>SPAMEDI</td>
<td>Medical Information Form</td>
<td>Used to enter data describing medical conditions and equipment needed for persons.</td>
</tr>
<tr>
<td>PPAMEDI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SPAINTL</td>
<td>International Information Form</td>
<td>Used to enter information relating to a person's international status.</td>
</tr>
<tr>
<td>PPINTL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SOAHOLD</td>
<td>Hold Information Form</td>
<td>Used to assign and review holds relating to a person.</td>
</tr>
<tr>
<td>SOAAPPT</td>
<td>Person appointments/Contacts Form</td>
<td>Used to set up appointments and contacts for a person.</td>
</tr>
</tbody>
</table>
Banner2000 forms, reports, jobs, and tables have seven-character names with the following structure:

<table>
<thead>
<tr>
<th>Position 1</th>
<th>B Property Tax</th>
<th>L Occupational Tax/License</th>
<th>U Utilities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>C Courts</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>D Cash Drawer</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>F Finance</td>
<td>N Position Control</td>
<td>V Voice Response</td>
</tr>
<tr>
<td></td>
<td>G General</td>
<td>O Customer Contact</td>
<td>X Records Indexing</td>
</tr>
<tr>
<td></td>
<td>I Information Access</td>
<td>Q Electronic Work Queue</td>
<td>W Reserved for client applications that co-exist with Banner2000</td>
</tr>
<tr>
<td></td>
<td>K Work Management</td>
<td>R Financial Aid</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>S Student</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>T Accounts Receivable</td>
<td></td>
</tr>
</tbody>
</table>

Please refer to the online version of this document as the most up-to-date copy.
8.000

FACILITIES

Please refer to the online version of this document as the most up-to-date copy.
8.100 FACILITIES

The consistent operation of the College campus is carried out by the Facilities Department. The staff is committed to providing a quality working environment which is safe, clean and well maintained. The facilities staff, consisting of custodians, grounds crew, trades workers and power plant operators, keeps the physical plant and all campus buildings in working order.
8.200 POLICY REGARDING THE USE OF FACILITIES FOR COLLEGE GROUPS

Holyoke Community College will make its facilities available for educational, recreational, and civic purposes to recognized responsible organizations as long as it is practical to do so without interference with regular College activities, damage or depreciation of College property and without liability to the College or the Commonwealth of Massachusetts.

Section 1-Policy Objectives

A. Encourage broadest possible access to facilities on a fair, uniform and impartial basis at the lowest legally permissible cost to the Commonwealth’s citizenry consistent with the Board’s established policy of non-discrimination and affirmative action by offering use of the College facilities without discrimination on grounds of race, color, religion, national origin, age or sex.

B. Ensure that the facility use is without cost to the Commonwealth as required by Chapter 7 Section 3B MGL; and that the College recovers costs incurred for all expenses incurred beyond those ordinarily required for operation of such facilities.

C. Enhance the interests of the College’s educational and community service missions by permitting facility use by public and, when appropriate, by non-profit agencies and organizations.

D. Establish facility use scheduling priorities to ensure non-interference with classes, related College activities and the needs of students, faculty, and staff.

E. Require that all non-college users indemnify and hold the Board and the College harmless against any claim for personal injury or damage to College property arising out of such facility use; and ensure all facilities are maintained in the same order and repair as they are in at the commencement of tenancy by non-college users.

Section 2 - Use of College Facilities by Public Entities, Business Corporations, Other Profit-Based Private Entities and Non-Profit Service Organizations.

A. College facilities may be used by other public entities, business corporations, sole proprietorships, partnerships, non-profit organizations or other entities or individuals when said use of the facility is consistent with the educational and community service mission of the College. If an organization has a tax ID number, it should be provided at the time of application.

B. College facilities may not, in any circumstances, be used by individuals or groups, private or public, profit or non-profit, for the purpose of conducting political fund-raising activities in accordance with Chapter 55, MGL, Section 13 and 14:
D. No person shall in any building or part thereof occupied for state, county or municipal purposes demand, solicit or receive any payment or gift of money or other thing of value for the political campaign purposes of any candidate for public office or of any political committee, or for any political purpose whatsoever.

E. Use of the facility for private gain by profit or non-profit entities or individuals shall be permitted only when all costs are paid for use of the facility.

F. Facilities use charges can be assessed for the use of College facilities as provided in Chapter 7, Section 3B of the General Laws and as in regulations promulgated by the Secretary of Administration and Finance to implement Chapter 7 Section 3B.

G. The College facilities may not be utilized by non-College groups for fund raising purposes. However, such groups may use the facilities for programs involving an admission charge when; a worthy educational, civic or charitable purpose will be served, or when, a substantial group in the community will be benefited.

H. When services of College personnel are required outside of regular working hours, fees at the rate of time and a half will be paid to the facilities staff, audiovisual personnel and theater personnel, by the group which utilizes their services. Minimal number of staffing overtime call back hours may apply.

I. In the event that the College cancels or closes the campus all college and non-college group activities will be canceled.

J. At the discretion of the College one or more custodians and or security personnel may be required to be on duty to open, supervise, clean and close the facility. Assignment of College custodial and or security personnel will be made by the Director of Facilities.
   a. Custodians will open the facilities at least one-half hour before the scheduled event and be allowed whatever time is necessary after the event is over to clean the area that has been used in order to ensure that the facility is ready for use the following day.

K. The use of decorations or other items in any way dependent or affixed to walls, ceiling fixtures, windows, doors, etc. is prohibited unless approved by the Director of Facilities. No candles or open flames.

**Section 3- Conditions of Use and Special Criteria**

A. All events must conform to the provisions of applicable Federal, State and Local Law, Board and College policies, collective bargaining agreements and concessionaire contracts. Users shall be responsible for obtaining any required permits and/or licenses and for the payment of applicable fees and taxes.

B. Smoking is prohibited in the College and on College grounds except within the confines of personally-owned motor vehicles.
C. Consumption of food or beverages is prohibited on College premises except in places as may be designated by College regulations. Food or beverage cannot be brought on Campus without specific permission from the Vice President for Administration and Finance.

D. The consumption of alcoholic beverages on College property is prohibited. The Vice President for Administration and Finance may waive this prohibition; provided a Request to Serve/Provide Alcohol form is approved at least 60 days prior to a scheduled event. Events may not be advertised until approval has been given in writing.

i. In addition, an Application for Special License for Wine and Malt Beverages must be filed with the City of Holyoke, along with a $30 nonrefundable fee payable to the License Board. Please keep in mind that this license is issued to a person, not a company.

ii. If the event is sponsored by Holyoke Community College, Administration and Finance will complete the City Application and forward it for filing. Administration and Finance will also complete a Direct Payment form for the $30 filing fee. A final “approved” copy of the Application for a Special License must be forwarded to Administration and Finance in order to complete the Request to Serve/Provide Alcohol form process.

iii. If an outside event, the Licensee shall maintain Commercial Liability Insurance, covering personal injury, death and property damage, as well as Liquor Liability Insurance either as an add on to its Commercial policy or under a separate policy, in amounts no less than one million dollars ($1,000,000.00) per occurrence and three million dollars ($3,000,000.00) in the aggregate. Said policy(s) shall identify the College as a named-insured. The Licensee must provide the Licensor with at least thirty (30) days written notice prior to the termination, suspension or modification of such insurance coverage. The Licensee agrees to indemnify and hold the Licensor, its officers, agents, employees, and students harmless for any and all loss, damage, suits, claims, costs, expenses, demands, judgments, and liabilities of whatsoever. If this is a Holyoke Community College event, the College will provide the necessary liability insurance coverage.

E. Use of athletic facilities requires the presence of an athletic supervisor.

F. All parking on College-owned property must follow Holyoke Community College parking regulations. Normally, the College will not reserve exclusive parking for functions held on campus when classes are in session.

G. Use of College facilities will not be permitted for activities in direct or potential competition with any HCC program or activity.

H. In no event can an approved applicant sublease the facility to another group.
J. Requests for facility use must be submitted at least two weeks prior to the anticipated use.

K. Holyoke Community College reserves the right to make special regulations in the event of emergencies and to deny the use of its facilities when it is in the best interests of the College to do so.

L. An event may be cancelled by the applicant provided notice is given to the College at least 24 hours prior to the time of anticipated use.

M. Holyoke Community College reserves the right to cancel or revoke any event at any time, with or without cause, and in the event of such cancellation or revocation, it cannot be held liable for any claim or right to damages or compensation on account of any losses, damage, or expense whatsoever.

N. All organizations shall terminate their function by 11:00 p.m., unless special permission is granted by the Vice President for Administration and Finance or designee.

Section 4 - Scheduling Reservations and Payment

A. All groups or individuals using College facilities must complete a scheduling use and hold harmless agreement. This form serves as a permit for use and must be available for inspection while using College facilities.

B. All scheduling and use must be approved by the appropriate College departments. First priority is given to College sponsored events. College scheduled events may cancel other scheduled uses.

C. Full payment is due two weeks prior to the start of the event. Food and beverage services should be arranged with Aramark.

Section 5 - Media Equipment

A. Requests for audiovisual and amplification equipment should be made at least two business days prior to the function. This equipment is generally provided without charge, and requests are subject to equipment availability. The equipment is the responsibility of the individual or organization while on loan for a particular event.

Section 6 - Food and Beverage Services

All food and beverage service connected with the use of the College facilities shall be extended when available to all off-campus organizations and individuals using the College-owned facilities by the Conference Coordinator.

A. Appropriate forms shall be made available for requesting food and beverage service by the Conference Coordinator. All arrangements must be confirmed in advance.

B. All food and beverage costs are the sole responsibility of the requesting organization and/or the individual and all bills must be paid immediately upon completion of the specific services being rendered and receipt of a bill.

C. Aramark retains all concession rights at all events unless waived by the Vice President for Administration and Finance.

Section 7 - Damage and Insurance

A. Any damages incurred while the facility and/or equipment is being used shall be the sole responsibility of the organization and/or individual. Costs for repairs will be billed to the organization and/or individual and are due upon receipt. The user shall be responsible for the replacement cost of all equipment, if in the opinion of the Chief Information Officer, the equipment is damaged beyond repair.
B. Holyoke Community College assumes no liability for injury to persons present in its buildings pursuant to an authorization issued to any organization. The College further accepts no liability for injury or damage caused by the use of its facilities or equipment as is and to be responsible and liable for damage to the facility and the equipment therein and for all personal injuries sustained by persons present to said permit. It is the prerogative of the College to require that a certificate of insurance or a hold-harmless agreement be made a condition of application.
HOLYOKE COMMUNITY COLLEGE
REQUEST TO SERVE / PROVIDE ALCOHOL

(This form must be requested at least 60 days prior to your event.)

Today’s Date ______________________________________________________________________

I, ____________________________, request(s) permission to serve/provide alcohol on the Holyoke
Community College campus on:

(Date of event)

(Start and end time)

(Event name)

(Outside contact person and telephone #)

(Anticipated number of guests at event)

(Room where event is to be held)

Is event open to the public? _____ Yes _____ No

Caterer ______________________________________

Additional information, if any:

________________________________________________________________________________

Please note that events may NOT be advertised until approved.

Also, any outside Agreements that need to be signed must be attached to this request.

Responsible Cost Center Director ___________________________ Extension __________

Approved by Responsible Division Vice President: ___________________________ (Date)

(Signature)

President or Vice President for Administration and Finance ___________________________ Date

_____ Approved _____ Denied

________________________________________________________

AAF OFFICE USE ONLY

Application for Special License filed with the City of Holyoke on __________________________ and has been ______ Approved ______ Denied OR

Vendor has a Commonwealth Camera’s 12C License and has been approved for use by the City of Holyoke on __________________________

Certificate of Insurance received on __________________________

Liability Insurance Policy received on __________________________

Agreement to be signed (if applicable). Final copy received on __________________________

Distribution: White: User Yellow: President’s Office Pink: VP Administration

04/13

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8.300 MAINTENANCE AND REPAIR

The entire College community takes pride in our facilities; the Facilities Department staff is dedicated to maintaining the facilities and their cleanliness to the best of their ability.

Staff members are encouraged to report building deficiencies or unclean conditions to the Director of Facilities. Routine or special maintenance should be requested using the School Dude Work Order System in place. Log-in instructions are available with the Facilities Department. The website is http://md.schooldude.com.
8.400 BUILDING AND GROUNDS

The Facilities Department maintains College buildings and grounds with a concern for safety and security. Employees inspect campus facilities regularly, promptly arrange for or make repairs affecting safety and security and respond immediately to reports of potential safety and security hazards.

All buildings on campus remain open from 6:00 AM – 11:00 PM Monday through Thursday, from 6:00 AM – 6:00 PM on Friday, and from 6:00 AM – 3:30 PM on Saturday. Buildings remain locked on Sunday, holidays, and at times closed by the direction of the President. While closed, buildings are accessible to authorized staff, faculty, and special event personnel listed on College schedules or personnel who have made arrangements with the Director of Facilities. Whenever possible, faculty and staff are requested to call ahead to notify Campus Police of their estimated arrival.

Entry between 11:00 PM and 6:00 AM requires written permission from appropriate Deans/Directors or Vice Presidents and must be on file with the Campus Police. While every attempt will be made to accommodate access, on-going safety and security assignments have priority. If the main entrance to FROST is locked, utilize the Emergency Call Box at the Frost building third floor entrance to inform Campus Police of your arrival. College staff members are responsible for ensuring that their group remains in assigned areas and are not to allow exterior doors to be propped open for any reason.

Access to THE KIDS’ PLACE and the ATHLETIC & RECREATION CENTER is controlled by procedures established by managers working in those facilities.
8.500 KEYS

Requests for room or building keys should be made on the link below. Requests by faculty and staff must be approved by the Dean or department head prior to submittal to the Director of Facilities. Upon termination of employment, all keys must be returned to the Director.

Key Requests are made using the School Dude Work Order System. Log-in instructions are available with the Facilities Department. The website is http://md.schooldude.com.
8.501 KEYCARD ACCESS

The College buildings have a keycard access system. Card readers for access control are located at various building entrances. Instead of using a key at those entrances, an access card must be used to unlock the doors. Keycards are issued to members of the College community using procedures similar to those used in the issuing of College keys. The form for requesting a keycard is available in division offices (see page 8.500). It must be completed and signed according to directions on the form. After the request has been processed and approved, a programmed keycard will be issued to you at the Facilities Office.

Access to any locked building can only be gained by using a keycard at the following locations: the Frost 3rd floor lobby entrance, the Frost 2nd floor north entrance, the Donahue 1st floor south entrance, and the Kittredge Business Center north, east, and west entrances. When the College is closed and entrance doors have been locked, access to all buildings can only be gained through the above-mentioned keycard entrances. Please contact campus Police at 552-2400, or by using the yellow call box that is located at the Frost 3rd floor lobby entrance before entering any locked building.

Please refer to the online version of this document as the most up-to-date copy.
8.600 HAZARDOUS SUBSTANCES

Massachusetts General Laws, Chapter 111F, otherwise known as the Massachusetts Right-to-Know Law, requires that everyone who purchases hazardous chemicals obtain Material Safety Data Sheets (MSDS) on every hazardous and toxic substance ordered. The MSDS sheets and record of the purchase must be kept on file for 30 years.

Any Cost Center Director who orders hazardous and toxic substances on the Massachusetts Substance List must check the box on the purchase requisition indicating that an MSDS is required. When the product is received it should be accompanied by the MSDS. A copy of the MSDS should be sent to the Chief Power Plant Engineer where the master files for the forms are kept.

Employees have the right to know about any hazardous substances to which they may be exposed. A request form (see 8.601) filed with the Power Plant Engineer will result in a copy of the MSDS being forwarded to the employee or an explanation given.

Disposal of chemicals and other hazardous substances must be done in compliance with all state and federal laws and regulations. All such disposal will be coordinated by the Chief Power Plant Engineer and requests should be submitted to that office.

Right-to-Know Training
Under the state law employees having regular contact with potentially hazardous substances are required to be trained in their use and informed of their rights under the law. The College has purchased a video and workbook to be used for Right-to-Know training. A state certified trainer will be hired to conduct a seminar every other year. On alternating years, those individuals who must be trained in this area will need to view the video and sign that they have done so. New employees needing this training are required to view the video within 90 days of their date of hire.
8.602: HAZARDOUS WASTE PROCEDURE

1. OVERVIEW

This procedure is intended to safely control the designation, storage, handling, and removal of the College’s hazardous waste and universal waste streams. The goals of this procedure are to protect the health and safety of the individuals who handle hazardous materials and generate hazardous waste, and to eliminate any potentially negative environmental impacts from the College’s own operations.

2. COLLEGE DESIGNATION

The College is registered as a “Small Quantity Generator” (SQG) with the Environmental Protection Agency and the Massachusetts Department of Environmental Protection.

3. RESPONSIBILITY DESIGNATIONS

Safe practices and hazardous waste reduction is everyone's responsibility. The management and responsibility of a hazardous waste begins with the individual who is the generator of the waste. This means that if an individual generates wastes that are toxic, ignitable, corrosive, or reactive, you have become a generator of hazardous waste. That person should be sure that the handling and storage of such waste is in compliance with the federal, state, and College regulations. The disposal of hazardous waste is the responsibility of the Director of Facilities, who designates the Chief Power Plant Engineer as the individual responsible for collecting, storing, and contracting for the removal of hazardous and universal wastes.

The removal of hazardous waste from campus will be performed by a qualified vendor in compliance with federal, state, and DOT laws. Proper documentation is an essential component of the removal of wastes from the College.

4. WASTE MATERIALS CLASSIFICATION

Unusable waste products which are designated as toxic, corrosive, ignitable, and/or reactive shall be considered hazardous wastes. Radioactive waste materials, biological waste, waste oil, and regulated waste drugs are disposed of under their own individual specific procedures.

Universal Wastes:

Wastes such as mercury containing fluorescent lamps and used computer equipment are collected, stored, and disposed of according to the universal waste regulations.

5. NEW MATERIALS IDENTIFICATION

All new chemicals received at the College must have their material safety data sheet (MSDS) with the received order, as specified in Section 8.500 of the Administrative Procedures. Each container should be labeled with the following information: the manufacturer's name, the active ingredients, CAS numbers, and pertinent safety instructions.
6. HAZARDOUS WASTE IDENTIFICATION

Each hazardous waste container shall be labeled as follows: the start date (the date in which the container became full of the hazardous waste), chemical names, CAS numbers, type of hazards (toxic, corrosive, ignitable, or reactive) and the words "hazardous waste."

7. HAZARDOUS WASTE STORAGE (Satellite Accumulation Storage Areas)

Accumulation and storage areas must meet the following conditions for (SQG’s):

a. The area will be posted with a sign: “HAZARDOUS WASTE STORAGE AREA” in capital letters at least one inch high.

b. The area must be secured against unauthorized entry.

c. The area must be clearly marked (by a visible line, tape or fence).

d. In the area, the containers must be stored on a surface which does not have cracks or gaps and is impervious to the hazardous wastes being stored.

e. In the area, wastes of different types must be segregated.

f. An outdoor area must have secondary containment such as a berm or dike, which will hold any spill or leak.

8. HAZARDOUS WASTE REMOVAL

The hazardous waste removal shall be coordinated by the Chief Power Plant Engineer. That person shall schedule hazardous waste removal two times a year. The removal scheduling shall ensure that no hazardous waste is held on the College campus for more than 180 days. Each chemical material shall be listed by name, size of the container, and physical amount. All shipping records and manifests will be recorded and filed in the Chief Power Plant Engineer’s office.

Please refer to the online version of this document as the most up-to-date copy.
8.700 ALTERATIONS TO BUILDINGS

The Director of Facilities must be contacted prior to the requisitioning of any equipment that involves utility connections and/or building alterations (e.g., sterilizers, air conditioners, water coolers, microwave ovens, etc.). This must be done to determine if the proper unit is being purchased, if adequate utilities are available, and if the structure of the building is sufficient to house the equipment.

The Director must also be contacted prior to requesting physical alterations to any College building that involves labor and materials (e.g., carpentry, drapes, carpeting, etc.), regardless of the amount of money involved or the source of funds. No individual is authorized to make alterations to the building (painting, electrical, carpentry, etc.) without approval.

Requisitions for building alterations should be sent directly to the Director of Facilities. Once approval has been given, the requisitions will be forwarded to the Business Office to be processed.

Alteration costs exceeding $50,000 require special procedures for bidding, bonding, and contracting. The Vice President for Administration and Finance, Director of Facilities, and Director of Engineering Services will coordinate any such projects.

Please refer to the online version of this document as the most up-to-date copy.
8.800: GASOLINE RESOURCES

The Facilities Department maintains the campus gasoline resources. Gasoline is stored in an outdoor above ground storage tank at the Campus Garage (F Building). It is distributed only to facility owned vehicles and machinery by authorized personnel. The pump is electrically switched inside the garage. A key is required to access this garage location and an additional key is needed to release the handle at the pump. The individual for whom the gas is being dispensed is required to record the date, name, vehicle description, number of gallons pumped, mileage (if applicable) and their signature on the HCC GASOLINE CONSUMPTION LOG form (see attached) each time gasoline is dispensed.

Each week the facilities department will reconcile the quantity of gasoline used according to the pump meter with its records. If any discrepancy exists, the department will investigate and take appropriate actions.

The Current List of Authorized Personnel include the Grounds staff (John LaRoach, Alice Brainard), the Campus Police (one key on each Vehicle key ring (3), and a Maintainer 2 (Dennis Fontaine).
Please refer to the online version of this document as the most up-to-date copy.
9.000 HUMAN RESOURCES INTRODUCTION

The Human Resources Department in coordination with the Division of Administration and Finance has consolidated local practices and benefits as well as state and federal regulations applicable to all faculty and staff. This manual is maintained separately from the Administrative Policies and Procedures and is available to supervisory/management staff through the college’s intranet. The online version is the most up-to-date version available.
10.000

OFFICE SERVICES
10:100 Duplication Requests

Office Services provides centralized duplicating services, including high-volume photocopying, one-color printing, collating, booklet making, labeling, thermal binding, and punching. A laminator is also available if needed. Priority is given to materials needed in the classroom, particularly for examinations, which are kept secure. Faculty and staff are encouraged to submit work to be duplicated one week in advance of the needed date. Whenever possible, materials will be completed earlier. Requests for multi-colored publications must be coordinated through the office of the Vice President for Institutional Advancement and the Graphic Artist. Please allow sufficient time.

Cost Centers will receive a quarterly memo summarizing copy charges that will be charged to the respective accounts at the end of the fiscal year.

Duplication request slips are available in Office Services (see 10.101).
Please refer to the online version of this document as the most up-to-date copy.
10:200 College Store Distribution

Laboratory manuals, curricula, or other materials of substantial length developed for classroom distribution are duplicated by Office Services and sold through the College Store. This allows the College to recover the cost of materials (no charge is made for labor); students eligible for financial aid may charge the costs to their awards.

The instructor must complete a special form (see 10.201) to be submitted along with the material to be duplicated. A cost sheet is then prepared by Office Services and the College Store is charged for materials actually sold. The cost of materials for any items not sold will be charged to the requesting department’s cost center on a bi-annual basis.

Please refer to the online version of this document as the most up-to-date copy.
TO:

FROM: Office Services
College Store
Vice President for Administration and Finance

SUBJECT: Documents to be given out through the College Store

The following document is being submitted to Office Services for duplication and eventually handled by the College Store:

Course: __________________________________________

Document Title: __________________________________

Expected Enrollment: _______________________________

Semester: _________________________________________

Required text: _____ Yes _____ No

Number needed for faculty: ______

Duplication:

Total: ______

Back to back: Yes _____ No

Stapled: ___________

Thermal Bound: ___________

Spiral Bound: ___________
10.300 COPYRIGHT MATERIALS/DUPLICATION

COPYRIGHT AND INTELLECTUAL PROPERTY POLICY

PURPOSE AND SCOPE

This policy provides guidance regarding the use and creation of intellectual property at Holyoke Community College. While the definition of intellectual property is broad and can include works of authorship, computer software, inventions, discoveries, creations, know-how, trade secrets, technology, scientific or technological developments, and research data, regardless of whether subject to legal protection, this policy will focus on that intellectual property at the College which is most likely to be used such as copying copyrighted materials for classroom instruction or course materials, performances and displays in the classroom and distance learning environments, as well as created. This policy will address when it is necessary to obtain authorization to use intellectual property, as well as who owns the rights to intellectual property created at the College.

It is the responsibility of all faculty, staff, students and anyone using the facilities or resources of Holyoke Community College to read, understand and follow this policy. Any person with questions regarding the application or meaning of this policy should seek clarification from the Chief Academic Officer. Failure to observe this policy may subject individuals to disciplinary action pursuant to applicable handbooks or collective bargaining agreements, up to and including expulsion from the College or termination of employment. Further, failure to observe this policy may result in violation of civil and/or criminal laws.

DEFINITIONS

Copyright – The exclusive right of an author to reproduce and create derivative works from, distribute, perform, display, sell, lend or rent original works of authorship that are fixed in a tangible medium which are not in the Public Domain and thus, protected under United States Copyright Law Title 17 of the U.S. Code, including literary, musical and dramatic works as well as computer software teaching materials, multimedia works, proposals and research reports, books, articles, study guides, syllabi, workbooks, manuals, bibliographies, instructional packages, tests, video or audio records, films, slides, transparencies, charts, graphic materials, photographic or similar visual materials, film strips, multi-media materials, three dimensional materials, exhibits, software, and databases.

Covered Individuals – All individuals employed by the College, enrolled at the College, attending classes at the College, and/or using the facilities or resources of the College (e.g. community members) are subject to this policy.

Intellectual Property – Includes, but is not limited to, any works of authorship, computer software, invention, discovery, creation, know-how, trade secret, technology, scientific or technological development, research data, regardless of whether subject to legal protection such as copyright.

Public Domain - The status of publications, products, and processes that are not protected by copyright; for example, materials on which the copyright has expired and works created by the federal government or a state government.
Work Made for Hire – Pursuant to Section 101 of Title 17 of the U.S. Code, “(1) a work prepared by an employee within the scope of his or her employment; or (2) a work specially ordered or commissioned for use as a contribution to a collective work, as a part of a motion picture or other audiovisual work, as a translation, as a supplementary work,1 as a compilation, as an instructional text,2 as a test, as answer material for a test, or as an atlas, if the parties expressly agree in a written instrument that the work shall be considered a work made for hire.”

COMPLIANCE WITH COPYRIGHT AND INTELLECTUAL PROPERTY LAWS

It is the policy of Holyoke Community College to acknowledge and abide by all applicable intellectual property laws, including but not limited federal copyright law, Title 17 of the U.S. Code as amended at http://www.copyright.gov/title17.3 The College expects that all individuals employed at the College, enrolled at the College, and/or using the facilities or resources of the College (“Covered Individuals”) shall do the same.

In addition to issuing, and educating the College community regarding, this policy, the College will, among other things, ensure that every photocopy machine and printer and other equipment capable of creating copies on campus shall include effective signage incorporating the following text:

Notice: The copyright law of the U.S. (Title 17 of the U.S. Code) governs the making of photocopies or other reproductions of copyrighted material. The person using this equipment is liable for any infringement.

The College has also designated an "Agent to Receive Notification of Claimed Copyright Infringement." Anyone who believes that any faculty, staff, or student of the College has infringed on their rights as a copyright owner should contact the Chief Academic Officer, as the College’s Copyright Agent, with the following information:

- Complete name, mailing address, email address, phone and fax numbers;
- Information about the copyrighted material (URL, book title, etc.);
- The URL of the College site which has the infringing material; and
- Any other information supporting the claim.

1 A “supplementary work” is “a work prepared for publication as a secondary adjunct to a work by another author for the purpose of introducing, concluding, illustrating, explaining, revising, commenting upon, or assisting in the use of the other work, such as forewards, afterwords, charts, tables, editorial notes, musical arrangements, answer material for tests, bibliographies, appendixes, and indexes.”

2 An “instructional text” is a “literary, pictorial, or graphic work prepared for publication and with the purpose of use in systematic instructional activities.”

3 Since its passage in 1976, the Copyright Law has been amended numerous times by, for example, the Digital Millennium Copyright Act in 1998 and the Technology, Education, and Copyright Harmonization Act (“TEACH Act”) in 2002. These amendments outline the copyright requirements for digital content and online distance education addressed in this policy. Additional information regarding these amendments can be found in the appendices to this policy.
With regard to Distance Learning, the College will apply measures to protect against unauthorized access (e.g. limiting transmission to students enrolled in a particular course) and requires that only lawfully acquired copies of copyrighted works are used.

**USE OF INTELLECTUAL PROPERTY: COPYRIGHT**

Much of the existing works, information, or materials used at the College, whether written or electronic are copyright protected. Copyright protection vests automatically in original works of authorship that are fixed in a tangible medium of expression which are not in the Public Domain. Copyrighted materials can include literary, musical and dramatic works as well as computer software teaching materials, multimedia works, proposals and research reports, books, articles, study guides, syllabi, workbooks, manuals, bibliographies, instructional packages, tests, video or audio records, films, slides, transparencies, charts, graphic materials, photographic or similar visual materials, film strips, multi-media materials, three dimensional materials, exhibits, software, and databases.

Works in the Public Domain include those created by the federal or a state government and copyrighted works where the copyright has expired. Public accessibility to the works such as via the Internet does not mean that the works are in the Public Domain. To the contrary, much of the materials on the Internet are copyright protected. Since copyright laws protect many materials, and it is difficult to determine whether a work is in the Public Domain, Covered Individuals should assume that the materials they seek to use, for example, in connection with course preparation, course presentation or course materials, are copyrighted works.

Please note that if anyone who is not the copyright owner reproduces, distributes, performs, displays, and/or makes derivative works from copyrighted materials it is an infringement of the copyright owner’s rights and the person infringing may be liable for damages to the copyright owner as well as criminal penalties. Accordingly, any time a Covered Individual uses a copyrighted work, either in whole or in part, proper authorization must be obtained from the copyright owner (which can include written consent as well as the payment of a fee) unless one of the exceptions listed below applies. Additionally, Covered Individuals should clearly and prominently acknowledge the copyright owner on, or next to, the copyrighted work along with the following notice:

*This material is protected by federal copyright law (Title 17 of the U.S. Code) and thus, copying of the material is prohibited by federal law.*

**OBTAINING AUTHORIZATION TO USE A COPYRIGHTED WORK**

Obtaining authorization from a copyright owner to use a copyrighted work is usually not difficult but in some cases, may involve payment of a fee. The Association of American Publishers suggests that the following information be sent to the copyright owner (and/or to the publisher), with a self-addressed stamped envelope, to expedite the approval process:

- Title, author and/or editor, and edition of materials to be duplicated.
- Exact material to be used, giving amount, page numbers, reels, cassettes, chapters and, if possible, a photocopy of the material.
- Number of copies to be made.
- Use to be made of duplicated materials (including time period or duration if copying on an on-going basis is desired).
- Form of distribution (classroom, newsletter, etc.).
• Whether or not the material is to be sold.
• Type of reprint (photocopy, offset, typeset, reproduced [media]).

It is advisable to allow sufficient lead time to obtain authorization prior to use. In some instances the copyright holder may assess a fee for permission, which may be passed on to students who receive copies of the copyrighted material.

Depending on the type of copyrighted material (e.g. poetry, music), permission may also be obtained (for a fee) by contacting organizations such as the Copyright Clearance Center, Films for the Humanities & Sciences, Harry Fox Agency, Motion Picture Licensing Corporation, Recording Industry Association of America, and The American Society of Composers, Authors and Publishers.

WHEN AUTHORIZATION IS NOT REQUIRED

Covered Individuals do not need to obtain prior written permission from the copyright owner to use copyrighted materials if use falls under one of the exemptions listed below. Additional guidance and resources are included in the appendices to this policy.

Fair Use Exemption

Copyright law does allow limited copying, distribution, and display of copyrighted works without the copyright owner’s permission for purposes such as criticism, comment, news reporting, teaching (including multiple uses for classroom use), scholarship and/or research under certain conditions known as “fair use.” Copyright law does not specify what qualifies as of “fair use” but rather provides four interrelated factors which must be considered every time a Covered Individual seeks to use copyrighted material to evaluate whether the use (e.g. copying, distribution) falls within the limited exemption of fair use. The four factors that must be considered on a case-by-case basis are as follows:

• The purpose and character of the use, including whether such use is of commercial nature or is for nonprofit educational purposes.

Nonprofit educational uses are more likely to be considered fair while commercial uses will likely be an infringement. Duplicating and distributing small portions of copyrighted materials for specific nonprofit educational purposes has been considered to be fair use.

• The nature of the copyrighted work.

For example, use of published non-fiction (e.g. encyclopedias) is more likely to be considered fair while use of unpublished fiction will likely be an infringement. Commercial audiovisual works and consumable workbook materials are less likely to be considered fair than use of many printed materials.

• The amount and importance of the portion of the copyrighted work used.

Use of extracts which are small relative to the whole work and which do not capture the “essence” of the work are more likely to be considered fair.

• The economic effect of the use on the copyright owner

Please refer to the online version of this document as the most up-to-date copy.
If copying or distributing the work does not reduce sales of the work then the use is more likely to be considered fair.

Please note that not all educational uses will qualify as “fair use” and that the concept of “fair use” provides limited exemption and does not allow for the wholesale copying and distribution of copyrighted work for educational or any other purpose without permission. Moreover, when in doubt if use qualifies as “fair use,” permission from the copyright holder should be obtained.

**Special Library Exemption**

Copyright laws allow libraries to exercise special rights in addition to “fair use” such as archiving lost, stolen, damaged or deteriorating works, making copies for library patrons, and, in some cases, making copies for other libraries’ patrons (inter-library loan).

**Special Classroom Exemption**

Copyright laws allow faculty and instructors to use copyrighted materials in the classroom, including distance learning environments, without obtaining permission, for example, in performances of non-dramatic literary and musical works or displays of print materials over the internet as part of a class session in a distance learning course. This special classroom exemption only applies if:

- The display or performance is done by, at the direction of, or under the actual supervision of an instructor, as an integral part of a class session, an integral part of a class session as part of systematic mediated instructional activities and is directly related and of material assistance to the teaching content.
- Transmission is made solely for and reception limited to (as technologically feasible) students enrolled in the course, and technological measures are in place to limit access to enrolled students and reasonably prevent download and further distribution of materials.
- There is no interference with copyright holder's technological measures that prevent such retention and dissemination

The special classroom exemptions do not cover:

- Digital educational works - works produced or marketed primarily for performance/display as part of mediated instructional activities transmitted via digital networks
- Unlawful copies - copies which are known (or reasonably should have been known) to be unlawfully made or acquired

Please note that copyright law allows the conversion of print or analog material into digital formats if no digital version is available or an available digital version is protected by technological measures.

**GUIDELINES FOR USE OF COPYRIGHTED WORKS AT THE COLLEGE**

Please refer to the online version of this document as the most up-to-date copy.
Below are some illustrations of typical educational uses of copyrighted works at the College which are unlikely to require the copyright owner’s permission if this policy and these guidelines are followed as use will likely fall into one of the exemptions listed above. Even if a determination is made that an exception applies and permission of the copyright owner is not required for use of copyrighted material, Covered Individuals still have limitations on use as outlined in this Policy and below. Additionally, Covered Individuals should clearly and prominently acknowledge the copyright owner on, or next to, the copyrighted work along with the following notice: “This material is protected by Title 17 of the U.S. Code and thus, copying of the material is prohibited by federal copyright law.” Please also refer to the appendices of this policy for additional guidance and copyright resources, including, but not limited to other examples where educational uses may be permissible without permission from the copyright owner. These resources may be particularly helpful where Covered Users seek to use copyrighted works in newer forms of technology (e.g. podcasting, PowerPoint). Please note however that this policy and federal copyright law applies to all uses of copyrighted materials, irrespective of technology. Non-digital content that is protected by copyright is also protected in digital form. Additional guidance and resources are included in the appendices to this policy such as “Questions & Answers on Copyright For the Campus Community” at http://publishers.org/main/Copyright/attachments/PC-029-08-06-CopyrightQA_v3.pdf

Single Copy for Classroom Use

A single copy may be made by, or for, a faculty member or instructor, for his or her scholarly research or use in teaching or preparation to teach a class, of all or part of the following: a chapter from a book, an article from a periodical or newspaper; a short story, short essay or short poem, whether or not from a collective work or a chart, graph, diagram, drawing, cartoon, picture from a book, periodical, or newspaper.

Multiple Copies for Classroom Use, including Course Packets

Multiple copies (not to exceed in any event more than one copy per student per course) may be made by, or for, the faculty member or instructor giving the course for classroom use or discussion, provided that the copying meets the tests of brevity and spontaneity and cumulative effect and each copy includes a notice of copyright. Students may not be charged except to recover copying costs.

Works which meet the brevity test are as follows:

- Poetry – a complete poem (or an excerpt from a poem) if less than 250 words and if printed on not more than two pages.
- Prose – a complete article, story or essay of less than 2500 words or an excerpt from any prose work of not more than 1,000 words or 10% of the work whichever is less but a minimum of 500 words.
- Illustration: one chart, graph, diagram, drawing, cartoon or picture per book or per periodical issue.

A work passes the spontaneity test if the copying is at the instance and inspiration of the individual instructor, and the inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission to copy.

To meet the cumulative effect test, the copying of the material must be for only one course; and not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term. Cumulative effect prohibits more than nine instances of such multiple copying for one course during a class term.
Notwithstanding the above, the following copying is prohibited without authorization from the copyright owner:

- Copying for the purpose of creating, replacing, or substituting for anthologies, compilations or collective works.
- Copying of works intended to be “consumable” in the course of study or teaching, such as workbooks, exercises, standardized tests and test booklets and answer sheets.
- Copying as a substitute for the purchase or books, publishers’ reprints or periodicals.
- Repeated copying of the same item by the same teacher from term to term.

Faculty and staff should follow the guidelines above for copying course packets or research materials. Please note that permission of the copyright owner must be obtained for materials that will be used in more than one semester by the same professor for the same class. Copyright notices should include appropriate citations and attributions to the source.

Library Course Reserves

A faculty or staff member may want to have materials on reserve at the library as part of the course materials, including classroom assignments. Library course reserves, whether physical or electronic, are intended to provide supplemental material to courses of instruction at the College. As such, materials placed on reserve (for example disks, audio-visual materials, journal articles and/or photocopies, electronic resources, and non-book items) are not intended to comprise the core of a course’s instructional material, but rather to augment it. The library will conduct a fair use analysis described in this policy and limit reserves to lawfully acquired copies of single articles or chapter, or other small portions of a work or originals of an entire work. Copies must include the notices and acknowledgements listed above and access will be limited to students enrolled in the class and will terminate at the end of the class. When the material requested for reserve exceeds what might be permitted under fair use, permission from the copyright holder must be obtained. Please note that placing a lawfully obtained textbook on reserve is permissible.

Network access, including World Wide Web access, to the College-created digitized study collections that include copyrighted material, is restricted to the College’s campus network and those authorized to use the network. Such digitized collections are accessible temporarily and for instructional purposes only by the students and faculty for whom the material is intended. These collections should be removed at the end of the academic term in which they were being used. Prominent notice must be given that such study materials may not be downloaded, retained, printed, shared, or modified, except as needed temporarily for specific academic assignments.

The use of a course management system (i.e. BlackBoard, Moodle, Angel) offers the capability to provide controlled access to electronic forms of class material. The College’s libraries provide access to a number of databases by subscription agreement with vendors. In many cases the license agreements with the vendors or publishers of these materials specifically address whether or not content may be downloaded and reposted to an electronic reserves system. Since the answer to this question is uneven and there are many licenses to consider, the College’s libraries will link to any database or eJournal content, rather than downloading the document and uploading it for online access (i.e. BlackBoard, Moodle, Angel).

Digitizing and Using Copyrighted Works in Multimedia Materials for Educational Purposes

Please refer to the online version of this document as the most up-to-date copy.
Covered Individuals may seek to incorporate copyrighted works into multimedia materials and display and perform a multimedia work in connection with, or the creation of, class assignments, curriculum materials, remote instruction, examinations, student portfolios, or professional symposia. Covered Individuals may incorporate copyrighted works into a multimedia work if the amount of material from the copyrighted work is a very small amount, if copies of the multimedia work are limited to those required to achieve the educational purpose, and if the multimedia work is used for the purpose for no longer than two years (in which case permission from the copyright owner is required). The copyright notices and acknowledgements listed above must also be included.

Digitizing and Using Images for Educational Purposes

Covered Individuals may seek to use images during their class, for example art images for an art history class. Images should only be used with permission from the owner of the copyright in the image. Many images are readily available online or for sale or license at a fair price. If the image is not readily available online or for sale or license at a fair price, Covered Individuals should limit access to all digitized images (except small low resolution “thumbnails”) to students enrolled in the class and administrative staff as needed and should terminate access to the images at the end of the class term. Periodically review digital availability. If a previously unavailable image becomes available online or for sale or license at a fair price, it should be acquired before using again.

Distance Learning

A faculty or staff member may display and perform copyrighted works in live interactive distance learning classes, course management systems or in delayed transmission of faculty instruction as follows: the faculty or staff member or the College must own a legal copy of the source (e.g. book purchased in College Store). Before purchasing materials for Distance Learning Courses, determine whether the applicable licenses provide authority for use of display and performance of the materials without restrictions. If so, a small portion of the Copyrighted materials may be used for a limited time, and with limited access along with the notices and acknowledgements listed above.

Music

A faculty or staff member may copy music for academic purposes, other than performances, limited as follows: 1) excerpts of sheet music, such as performable units (movements, sections, arias) may be copied only if out of print; 2) student performances may be recorded only for teacher or institutional evaluation or student’s portfolio, and 3) sound records may be copied once for classroom or reserve room use. Please note that sheet music may be copied in its entirety only for an emergency when purchased copies are not available for an imminent performance provided that purchased replacement copies are substituted in due course. Additionally, the copyright notices and acknowledgements outlined above must be included. There are also sources of free music such as the Choral Public Domain Library. [http://www.cpdl.org/wiki/index.php/Main_Page](http://www.cpdl.org/wiki/index.php/Main_Page).

Public Performance

Copyright law governs how copyrighted materials used for a public performance, such as movies, may be used. Neither the rental nor the purchase of a video carries with it the right to show the video outside the home. In some instances no license is required to view a video, such as inside the home by family or social acquaintances and in certain narrowly defined face-to-face teaching activities. Taverns, restaurants, private clubs, prisons, lodges, factories, summer camps, public libraries, day-care facilities, parks and recreation departments, churches and non-classroom use at schools and universities are all examples of situations where a public performance license must be obtained. This legal requirement applies regardless of whether an admission fee is charged, whether the institution or organization is commercial or non-profit, or whether a federal or state agency is involved.
Copyright law allows faculty members and instructors to share audio-visual work (e.g. video, VHS tape, laserdisc, DVD movie, 35 mm slide, filmstrip, or 16 mm movie), works with students in face-to-face teaching situations only. Even programs purchased or rented with the caveat "home use only," may be used in face-to-face teaching activities. Such programs may not be used outside of the classroom, for example viewing at a student club meeting, without licensing. Audio-visual works may not be transmitted to other colleges or locations without permission of the copyright holder. Accordingly, unless permission is received, distance education is an unlikely venue for the performance of audio-visual works.

Transmission of an audio-visual work may be permissible over closed circuit television to classrooms located within the same building. Besides use in classrooms, students, faculty or staff at workstations or in small group rooms such as those available in the library may view audio-visual works that are owned by the College. In similar situations, the performance of non-dramatic literary or musical works is permitted, if the performance or display is a regular part of systematic instructional activities, if it is directly related to teaching content of transmission, if the setting is normally devoted to instructional activities, or if it is sited to accommodate persons with disabilities.

Assuming the purpose is curricular and the setting is face-to-face, two additional criteria apply: (1) the performance of the audiovisual work must meet the instructional objective; and (2) the audio-visual work must be a "lawfully made" copy. Any other type of performance or display of an audio-visual work is potentially a copyright infringement.

Recording College Events

Permission to record presentations by registered students, faculty, and staff is assumed if the recording is to be used for archival or classroom use only. Written permission of the presenter or sponsor is required for presentations made by any other individual or group regardless of the recording's purpose. One archival copy of non-classroom events using copyrighted materials may be produced if the presenter has obtained clearance from the copyright holder. Non-archival copies of presentations may only be produced if written permission allowing the duplication of the material has been obtained in advance from all.

Off-Air Recording of Broadcast Programming for Educational Purposes

A broadcast program (including cable program) may be recorded off-air and retained for 45 calendar days after date of recording. Off-air recordings may be used once by individual faculty member or instructors in the course of relevant teaching activities and repeated once only when instructional reinforcement is necessary in classrooms and similar places devoted to instruction during the first 10 school days in the 45-day retention period. Off-air recordings may be made only at the request of and use by individual faculty and instructors and may not be regularly recorded in anticipation of requests. No broadcast program may be recorded off-air more than once at the request of the same teacher, regardless of the number of times the program may be broadcast. A limited number of copies may be reproduced from each off-air recording to meet the legitimate needs of faculty and instructors under this policy. Each additional copy shall be subject to all provisions governing the original recording.

After the first ten consecutive school days, off-air recordings may be used up to the end of the 45-day retention period only for teacher evaluation purposes (i.e. to determine whether to including the broadcast program in the teaching curriculum and may not be used in the recording institution for student exhibition or any other non-evaluation purpose without authorization. After 45 days, a license for retention must be obtained or the recording must be erased or destroyed. Recordings need not be used in their entirety but may not be altered from their original
content or physically or electronically combined or merged to constitute teaching anthologies or compilations. Recordings must contain the copyright notice on the broadcast program as recorded.

Please refer to the online version of this document as the most up-to-date copy.
OWNERSHIP OF INTELLECTUAL PROPERTY

The author or creator of intellectual property is usually the owner of that intellectual property unless the intellectual property is a “work made for hire.” Copyright law (Section 101 of Title 17 of the U.S. Code) defines a “work made for hire” as:

(1) a work prepared by an employee within the scope of his or her employment; or
(2) a work specially ordered or commissioned for use as a contribution to a collective work, as a part of a motion picture or other audiovisual work, as a translation, as a supplementary work, as a compilation, as an instructional text, as a test, as answer material for a test, or as an atlas, if the parties expressly agree in a written instrument that the work shall be considered a work made for hire.

If the work does not fit the legal definition of “work made for hire” the employer may still own the intellectual property if it is created pursuant to a contract, collective bargaining agreement, or assignment of copyright.

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4 A “supplementary work” is “a work prepared for publication as a secondary adjunct to a work by another author for the purpose of introducing, concluding, illustrating, explaining, revising, commenting upon, or assisting in the use of the other work, such as forewards, afterwords, charts, tables, editorial notes, musical arrangements, answer material for tests, bibliographies, appendices, and indexes.”

5 An “instructional text” is a “literary, pictorial, or graphic work prepared for publication and with the purpose of use in systematic instructional activities.”

Please refer to the online version of this document as the most up-to-date copy.
Send to Office Services with the standard request form.

HOLYOKE COMMUNITY COLLEGE
PHOTOCOPY CERTIFICATION FORM
COPYRIGHTED BOOKS AND PERIODICALS

Faculty Member: ___________________________ Department: ______________________

Author of material to be copied: _____________________________________________

Title of material to be copied: _____________________________________________

Number of copies to be made : _____(May not exceed number of students in class)

Check one:

☐ I. Permission to copy has been obtained from the copyright holder and is attached.

☐ II. Permission to copy has not been obtained from the copyright holder.

Nature of request (Check one):

☐ A. A single copy for my scholarly research, for use in teaching, for preparation to teach a class, or to be placed on library reserve.

☐ B. Multiple copies for classroom use or discussion.

If I have checked section II-A or II-B above, the applicable conditions shown on the back of this form have been met.

☐ III. The attached material to be reproduced is not covered by the copyright law.

I certify that the above information is true and correct to the best of my knowledge.

____________________________________
Signature of Faculty Member

____________________________________
Date
To Whom it May Concern:

I would like permission to duplicate the following for use in next semester's class:

Title:

Copyright: (Publisher's name, date)

Author:

Material to be duplicated: (photocopies enclosed)

Number of copies:

Distribution: Material will be distributed gratis to students.

Type or reprint: photocopy or multilith

A self-addressed envelope is enclosed for your convenience. Please let us know if there is any fee for this permission.

Sincerely,
10.303 COURSE PACKS

Certain faculty members like to teach with selected materials which are extracted from a variety of books and other publications. In order to produce these documents (called course packs in the trade), the College Store must follow stringent procedures to assure compliance with copyright laws.

To produce an authorized course pack (with all required copyright clearance) the faculty member needs to complete the Course Pack Request Form (page 10.311) and provide a legible copy of all requested materials to the College Store. The College Store staff then works with national copyright clearance services to get the authorizations for copyright and an estimated selling price for the packet. At that point, the faculty member must decide whether or not they wish to have the materials printed for their classes.

It is most important that the materials and the request for copyright be done at least 60 days prior to the start of classes.

Please be aware that the College Store will not accept materials printed from off-campus sources for resale in the College Store. We will sell only course packs authorized via our national copyrighting service or from the HCC Office Services Department. This is necessary to assure that the College is not liable for selling materials for which the copyright authorization has not been received.
10.400 MAILINGS

Office Services provides standard mailing for all departments at the College. This includes:

− First Class Mail

− Bulk Mail – This is significantly less expensive and is encouraged for all mailings of identical material with 200 or more pieces. Departments may have to provide some assistance with preparation.

− First Class Pre-sort – 600 pieces or more, sorted by zip code, are eligible for price discounts.

− Business Reply – As needed, departments purchase their own supply of pre-printed business reply envelopes with business reply postage from print vendors. Before sending out, the department's name should be stamped or pre-printed on the front of the envelope in the lower left corner. Please coordinate use with Office Services to be sure replies are forwarded to the appropriate office.

Special services are available elsewhere:

− Overnight Delivery – Available only for emergency or special use. Call the President's Office.

− United Parcel Service – Available through Office Services for official College business. Please provide lead time for preparation.

Cost Center directors are sent a quarterly memo reporting the cost of postage that will be charged back to their account. A journal entry is made yearly to record charges to the respective cost center.
A computerized banner maker is in Office Services. Any department wishing to produce a sign or banner is responsible for its production. The machine is IBM (Gateway) compatible and very easy to use. Office Services personnel will be available to assist you. Some departments order poster paper rolls for departmental use. Those rolls are kept in department offices and they are brought to the Storeroom as needed for use with the Banner maker. The Storekeeper, in addition, maintains a supply of poster paper rolls for use by departments that do not make enough banners to maintain their own supply. These are charged back yearly in Banner, to the department. Please contact Administrative Purchasing, for further information and the Office Services staff regarding the operation of the machine.
11.000

CAMPUS SAFETY

AND SECURITY
11.100 CAMPUS SAFETY AND SECURITY POLICY

Campus police officers possess the power and authority to apprehend and arrest anyone involved in illegal acts on campus. If needed, the Holyoke Community College Police Department (HCCPD) receives assistance from the Holyoke Police Department and the Massachusetts State Police.

The Holyoke Community College Police Department operates 24 hours per day, seven days a week, providing all patrol and emergency response services at the HCC campus.

By mutual agreement with state and federal agencies, HCCPD maintains a Criminal Justice Information Services terminal, which provides department personnel with access to the National Crime Information Computer System, as well as the Criminal History Systems Board for the Commonwealth of Massachusetts. These computer databases are used to enhance public safety by accessing criminal history data, nationwide police records, driver/vehicle identification information, as well as other local, state and federal law enforcement information.

The sworn personnel and support staff of the Holyoke Community College Police Department are dedicated to ensuring that the campus is a safe environment for studying, teaching, researching, and recreating. The department strives toward this goal through problem-solving partnerships with the faculty, staff, and students, as well as state and local governmental bodies, and community neighbors.

The Holyoke Community College Police Department works in collaboration with state and federal law enforcement agencies on an ongoing basis.

Feel free to contact the department at (413)552-2400 for routine business or if you have any questions, concerns, or suggestions.
11.200 REPORTING A CRIME OR EMERGENCY

Community members, students, faculty, staff, and guests are encouraged to report all crimes and public safety related incidents to the Holyoke Community College Police Department in a timely manner.

To report a crime or an emergency from an on-campus phone, call HCCPD at 911, or from outside the college phone system at (413) 552-2211. When using a cell phone, please remember that 911 will not reach the HCCPD office, but will be answered at a State Police regional dispatch center. HCCPD recommends pre-programming of cell phones with the HCCPD number (413-552-2211). HCCPD officers respond to all requests for service and are the investigating authority for all crimes on campus.

As an added security measure, nine emergency “HELP” phones are located at strategic points in the parking lots and adjacent to entrances. When the red emergency button is pushed, the caller is in immediate contact with the HCCPD. In addition to providing voice contact with a police dispatcher, HELP phone use also enables a dispatcher to pinpoint the caller’s location. Additional red phones have been placed in hallways in the buildings and can be used by anyone to report an emergency.

When calling for either emergency or non-emergency service, be prepared to:
- Clearly identify yourself;
- State where you are calling from;
- State briefly the nature of your call.

If possible, stay on the line unless otherwise advised by the officer. If assistance is required from off campus, the officer will summon the appropriate police, fire and/or medical service.

Crimes may also be reported anonymously online. A link has been set up on the HCC web page at http://www.hcc.edu/campus/safety.html

To report a crime that occurs at an off-campus location, contact the appropriate local police department. In the case of an emergency, it is always best to dial 911 and follow the procedures outlined above.

<table>
<thead>
<tr>
<th>EMERGENCY</th>
<th>911</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director/Chief of Police</td>
<td>(413) 552-2400</td>
</tr>
<tr>
<td>Non-Emergency</td>
<td>(413) 552-2400</td>
</tr>
<tr>
<td>Holyoke Police Department</td>
<td>(413) 536-6431</td>
</tr>
<tr>
<td>State Police, Northampton</td>
<td>(413) 584-3000</td>
</tr>
</tbody>
</table>

Other on campus numbers to call for assistance:
- College Operator “0” (on campus phone)
- Dean of Student Services (413) 552-2391
11.400 - EMERGENCY RESPONSE AND EVACUATION PROCEDURES

It is the policy of HCC to notify, without delay, the campus community of any confirmed significant emergency or dangerous situation involving an immediate threat to the health and safety of students or employees. The content of the notification will be determined by the relevant information available, and will be updated as any situation changes. The emergency notification system(s) will be initiated unless, in the professional judgment of responsible authorities, the release of such notification at that time would compromise efforts to assist victims or to contain, respond to, or otherwise mitigate the emergency. The notification system’s purpose is to provide brief and immediate instructions to the campus community and identify other resources where additional information can be obtained. During an emergency, detailed information about an incident would be provided in other forms of communication, such as: email, web site, voice mail, and emergency bulletins issued through the media. All students, Faculty and staff are strongly encouraged to sign up for the College’s emergency notification service, at www.hcc.edu/ens

The persons authorized to initiate the emergency notification system(s) are:

- President
- V.P. Administration and Finance
- V.P. Academic and Student Affairs
- V.P. Institutional Advancement
- V.P. Business and Community Service
- Asst. V.P. Diversity & Director of Academic Affairs
- CIO
- Campus Police

In addition to the college emergency notification systems, other outlets such as radio and televisions stations and social media may also be used as appropriate.

The college will test the emergency procedures at least once per year. These tests will be announced ahead of time.

Should a building or buildings need to be evacuated for any reason, all persons should use the nearest exit and proceed out of the common areas and remain at least 500 feet from the buildings. This can be accomplished by exiting to the furthest end of the parking lots. Persons should not attempt to re-enter buildings until told to do so.

Should the campus need to be evacuated, persons should immediately go to their vehicles, and exit the campus in a safe manner. To expedite cars leaving, those exiting from lots A to E should go to the main entrance. Those in lots F to L should exit on George Frost Drive. Lots M to S should use either the Q lot entrance or the main entrance. Students who are being picked up by private vehicles or the PVTA service should go to the circle by the Frost building main entrance unless otherwise directed by college or responding officials.

Please refer to the online version of this document as the most up-to-date copy.
11.300 EMERGENCY NOTIFICATION AND TIMELY WARNING

It is the policy of Holyoke Community College (HCC) to provide emergency notifications and timely warnings to its community for the safety of the campus. Emergency notifications are sent for any emergency of dangerous situation which may or may not include the crimes defined in the Clery Act. An example would be impending dangerous weather. An emergency notification is to be sent as soon as the emergency or dangerous situation is confirmed. HCC will send out updates to the community as needed. Any member of the senior staff or members of the Campus Police will send the alert as soon as confirmation is obtained. There is no requirement for any of those tasked with sending emergency notifications to receive prior authorization.

A timely warning is triggered by the occurrence of a crime reportable under the Clery Act, once pertinent information has been received. The warning will go out to the community if it is considered to represent a serious or continuing threat to the students or employees of the campus.

HCC has various methods to deliver both emergency notifications and timely warnings. The person who issues the warning(s) will determine which or all of the methods will be utilized. The warning systems are:

1) Rave
2) Informacast
3) PA system
4) Email
5) Direct communication
6) Postings

The persons authorized to initiate an alert will base their decision on a case by case basis in light of all the facts surrounding an incident, including factors such as the nature of the crime, the continuing threat to the campus community and the possible risk of compromising law enforcement efforts. Timely warnings can be issued for other crimes as deemed necessary. If there is an event or situation happening near the campus which could produce a threat to the campus, alerts may also be issued.

The persons authorized to issue warnings and alerts are the President and all members of the Senior Staff as well as the Campus Police Department.
11.500 LIMITED VOLUNTARY CONFIDENTIAL REPORTING

All crimes should be reported to the Campus Police Department. Anyone who is the victim or witness to a crime on campus is encouraged to promptly report the incident to the Holyoke Community College Police Department. Due to the sensitive nature of certain types of crime, victims may choose to confidentially report crimes to the Dean of Student Services Office or a college counselor. While crimes that have occurred are counted in the annual crime statistics, specifics are confidential and do not appear in the Annual Security Report.

Police reports are public records under state law, and therefore, the Holyoke Community College Police Department cannot hold reports of crime in confidence. All reports will be investigated. When appropriate, violations will be referred to the Dean of Student Services Office for review.

When a potentially dangerous threat to the college community arises, Public Safety Advisories or Campus Alerts will be issued to notify individuals of the threat in a timely manner. These advisories and alerts will also inform the community of any recommended action to be taken. (See Timely Warning, 11.300). Confidential reporting of a sexual assault is detailed in Section 11.1000.
11.600 COUNSELORS

As a result of the negotiated rulemaking process which followed the signing into law of the 1998 amendments to 20 U.S.C. Section 1092 (f), clarification was given to those considered to be campus security authorities. Campus “Pastoral Counselors” and Campus “Professional Counselors,” when acting as such, are not considered to be a campus security authority and are not required to report crimes for inclusion in the annual disclosure of crime statistics. As a matter of policy, the professional counselors at Holyoke Community College are encouraged, if and when they deem it appropriate, to inform persons being counseled of the procedures to report crimes on a voluntary basis for inclusion into the annual crime statistics.

The rulemaking committee defines counselors as:

Pastoral Counselor
An employee of an institution, who is associated with a religious order or denomination, recognized by that religious order or denomination as someone who provides confidential counseling and who is functioning within the scope of that recognition as a pastoral counselor. Holyoke Community College does not have pastoral counselors.

Professional Counselor
An employee of an institution, whose official responsibilities include providing psychological counseling to members of the institution’s community, and who is functioning within the scope of his or her license or certification.
11.700 SECURITY AND ACCESS

Most campus buildings and facilities are accessible to members of the campus community, guests, and visitors during normal hours of business, Monday through Friday, and for limited designated hours on Saturday, Sunday, and holidays. Facilities are maintained, and their security monitored, in the interest of students, staff, and faculty. Many cultural and athletic events held in college facilities, such as the Bartley Center for Athletics and Recreation and the Leslie Phillips Theater are open to the public. Other facilities such as the College Store, library, and cafeteria are also open to the public. Access to academic and administrative facilities on campus is generally limited to students, employees, and visitors for the purpose of study, work, teaching, and to conduct other college business. Areas such as the Kittredge Center conference and computer rooms are rented to other government and private entities at times. All groups using the Kittredge Center are registered through the office of the Vice President for Business and Community Services.

Please refer to the online version of this document as the most up-to-date copy.
11.800 SECURITY AWARENESS AND CRIME PREVENTION PROGRAMS

Most campus buildings and facilities are accessible to members of the campus community, guests, and visitors during normal hours of business, Monday through Friday, and for limited designated hours on Saturday, Sunday, and holidays. Facilities are maintained, and their security monitored, in the interest of students, staff, and faculty. Many cultural and athletic events held in college facilities, such as the Bartley Center for Athletics and Recreation and the Leslie Phillips Theater are open to the public. Other facilities such as the College Store, library, and cafeteria are also open to the public. Access to academic and administrative facilities on campus is generally limited to students, employees, and visitors for the purpose of study, work, teaching, and to conduct other college business. Areas such as the Kittredge Center conference and computer rooms are rented to other government and private entities at times. All groups using the Kittredge Center are registered through the office of the Vice President for Business and Community Services.

Rape Aggression Defense (R.A.D.)
The R.A.D. System/Program is designed to teach women about awareness, prevention, risk reduction and avoidance while progressing into the basics of hands-on defense training. The R.A.D. System’s objective is to “develop and enhance the options of self-defense, so they may become viable considerations to the woman who is attacked.” Contrary to popular belief, rape is not a crime of sex. Rape is a violent crime and a devastating experience, but it is survivable. Rape affects all people, no matter what their age, race, or economic status. It is one of the most rapidly growing crimes in American society. FBI projections suggest that one out of three women can expect to be sexually assaulted in their lifetime. In the United States, one forcible rape occurs every seven minutes. Each year, about 90,000 forcible rapes are reported to the police, but it is estimated that almost 90% of all rapes and attempted rapes are not reported.

Each situation is different, making rape prevention especially challenging. Steps can be taken, however, to lessen the chances of being raped. The Rape Aggression Defense System is a program of realistic, self-defense tactics and techniques. R.A.D. is dedicated to teaching women defensive concepts and techniques against various types of assaults, by utilizing easy, effective and proven self-defense tactics. This system of realistic defense will provide women with the knowledge to make an educated decision about resistance.

The Holyoke Community College Police Department invites female students and staff to partake in a woman’s self-defense course that is provided free of charge. The course requires a 14-hour commitment from each participant. Certified R.A.D. instructors teach each course; courses are not offered on a scheduled basis due to the commuter nature of the campus, but upon receiving requests they will be scheduled. A request can be made to the Campus Police at (413) 552-2400 or Student Activities at (413) 552-2418.
11.900 OFF-CAMPUS CRIMINAL ACTIVITY

If a student is charged with an off-campus violation of federal, state, or local laws, the college reserves the right to take disciplinary action and impose sanctions against the student. Proceedings under this student code may be carried out prior to, simultaneously with, or following civil or criminal proceedings off-campus.
11.1000 ALCOHOL, ILLEGAL DRUGS, SUBSTANCE ABUSE EDUCATION

Substance abuse and its related consequences undermine the goals of academic success and civility at Holyoke Community College. For this reason, the college has established policies and regulations pertaining to the possession and consumption of alcoholic beverages and the possession, use, distribution and sale of illicit drugs, and paraphernalia. These standards conform to state and federal laws, and enhance the health, safety, property and educational interests of all members of the college community.

Health risks associated with alcohol and other drug consumption include impaired judgment, vision, speech, coordination, memory, sensation and perception. Long-term use of alcohol and other drugs can negatively impact many of the body’s systems, and cause physical and psychological dependence.

In accordance with the Drug-Free Schools and Communities Act, Amendments of 1989 (PL101-226 20 U.S.C. sec. 1145g), college regulations and laws pertaining to alcoholic beverages and the possession, use, distribution and sale of illicit drugs shall be strictly and consistently enforced. Any violation of the college’s Code of Student Conduct or violation of federal, state or local laws shall subject the offender to the college disciplinary process and/or criminal prosecution.

Drug Policy

Violators of HCC drug policies are subject to severe sanctions including, but not limited to suspension and expulsion from the campus. Unlawful possession of a controlled substance is prohibited, as defined by Massachusetts General Law (MGL) Chapter 94C, Section 32, which states “no person knowingly or intentionally shall possess a controlled substance, unless such substance was obtained directly, or pursuant to a valid prescription or order; from a practitioner while acting in the course of his professional practice, or except as otherwise authorized by the provisions of this chapter.” Penalties include imprisonment for up to five years or a fine of not more than $5,000, or both a fine and imprisonment depending on the class of drug and offense.

- Drug paraphernalia used with controlled substances is prohibited, as defined by MGL Chapter 94C, Section 32, which states “no person shall sell, possess with intent to sell, or manufacture with intent to sell drug paraphernalia, knowing, or under circumstances where one reasonably should know, that it will be used to plant, propagate, cultivate, grow, harvest, manufacture, compound, convert, produce, process, prepare, test, analyze, package, repackage, store, contain, conceal, inject, ingest, inhale or otherwise introduce into the human body a controlled substance.” Determination of whether an item is drug paraphernalia will be made considering all relevant facts, including, but not limited to, the proximity of the item to the controlled substances. Penalties include imprisonment and/or fines.
- Unauthorized possession of a hypodermic syringe or needle, or any instrument adapted for the administration of controlled substances by injection is prohibited, as defined by MGL 94C, Section 27.
• Unlawful sale/distribution/manufacture of controlled substances is prohibited, as defined by MGL 94C, Section 32, which states, “any person who knowingly or intentionally manufactures, distributes, dispenses or possesses with intent to manufacture, distribute or dispense a controlled substance in Class A of section thirty-one shall be punished by imprisonment in the state prison for not more than ten years or in a jail or house of correction for not more than two and one-half years or by a fine of not less than one thousand nor more than ten thousand dollars, or by both such fine and imprisonment.”

**Definitions of Sanctions**

Sanctions such as the following may be imposed upon student:

- **Verbal or Written Warning:** Notice that continuation or repetition of prohibited conduct may be cause for additional disciplinary action.
- **Censure:** A written reprimand for violation of a specific regulation including the possibility of a more severe disciplinary sanction in the event of conviction for the violation of any other college regulation within a specified period of time stated in the letter of reprimand.
- **Restrictions/Loss of Privileges:** Limitations on campus usage including facilities, courses, labs, or other campus activities related to violation for a specified period of time.
- **Restitution:** Reimbursement for damage or misappropriation of property may take the form of appropriate service, fines, repair, or other compensation for damages. Restitution may be applied, where appropriate, in conjunction with another sanction.
- **Suspension:** Termination of student status, as set forth in a notice of suspension, for a definite period of time.
- **Dismissal:** Termination of student status for an indefinite period of time. The conditions for readmission, if any are permitted, shall be given in writing to the student at the time the action is taken.
- **Expulsion:** Permanent separation of the student from Holyoke Community College. The student will also be banned from the college premises.
11.1100 SEXUAL ASSAULT PREVENTION AND RESPONSE

Anyone who is a victim of a sexual assault at this institution should place getting to a place of safety as their first priority. Once safety has been established obtain necessary medical treatment. The Holyoke Community College Police strongly advocates that a victim of sexual assault report the incident in a timely manner. Time is a critical factor for evidence collection and preservation. An assault should be reported directly to HCCPD. Filing a police report will not obligate the victim to prosecute, nor will it subject the victim to scrutiny or judgmental opinions from officers. Filing a police report will:

- ensure that a victim of sexual assault receives the necessary medical treatment and tests, at no expense to the victim;
- provide the opportunity for collection of evidence helpful in prosecution, which cannot be obtained later (ideally a victim of sexual assault should not wash, douche, use the toilet, or change clothing prior to a medical/legal exam);
- assure the victim has access to free confidential counseling from counselors specifically trained in the area of sexual assault crisis intervention.

Sexual assault is any type of sexual contact that takes place without consent; it is a crime of violence and control that can happen to anyone.

The Massachusetts Department of Public Health specially trains, certifies and supports registered nurses and physicians to provide quality care and forensic evidence collection to sexual assault survivors. Victims/survivors of sexual assault are encouraged to go Holyoke Medical Center or their local hospital as soon as possible, before showering. For optimal evidence collection, exams should be performed within 72 hours of the assault.

Whom to Contact
In the event that you are the victim of sexual assault on the campus, first and most importantly get yourself into a place of safety if at all possible where you are able to call one or more of the following: 1. The Campus Police at (413) 552-2211 (ext. 2211 on campus phones) to report the incident and receive prompt assistance. 2. The local police at (413) 536-6431. 3. A friend or family member. 4. Abuse and Rape Crisis Hotline (Western Mass.) (413) 733-7100 or (800) 796-8711.

College disciplinary proceedings are detailed in the Holyoke Community College Code of Student Conduct. The Dean of Students Office is in charge of college discipline and allows the accused and the victim to select a person who has no formal legal training to accompany them throughout the hearing. In cases involving the allegation of violent crime, both the victim and the accused will be informed of the outcome of the judicial hearing. A student found guilty of violating the college Sexual Assault Policy could face criminal proceedings as well as suspension or expulsion from the college.
11.1200 SEXUAL OFFENDER REGISTRY POLICY

The Federal Campus Sex Crimes Prevention Act requires colleges and universities to issue a statement advising the campus community where state law enforcement agency information concerning registered sex offenders may be obtained. The act also requires registered sex offenders to provide to appropriate state officials notice of each institution of higher education in that state at which the offender is employed, carries on a vocation, or is a student.

How to Inquire

Members of the Holyoke Community College community may request information about sex offenders in Massachusetts at the Massachusetts Sex Offender Registry Board, telephone (978) 740-6400 or [www.state.ma.us/sorb](http://www.state.ma.us/sorb).

Penalties For Improper Use Of Sex Offender Registry Information

Information contained in the Sex Offender Registry shall not be used to commit a crime against an offender or to engage in illegal discrimination or harassment of an offender. Any person who improperly uses Sex Offender Registry information shall be punished by not more than two and one-half years in the house of correction or by a fine of not more than $1,000 or by both such fine and imprisonment.
11.1300 TRAFFIC RULES AND REGULATIONS

Traffic Rules and Regulations for Massachusetts Community Colleges, as adopted by the Massachusetts Higher Education Coordinating Council, are applicable at Holyoke Community College. Copies may be obtained in the Campus Police Department in E-Building, Room 214. The following is a summary of those rules and regulations. Specific authorization for towing and traffic enforcement is contained in 610 CMR 7.00.

REGISTRATION AND PARKING DECALS - Faculty, Staff and Students, are required to register their vehicles. Students register with the Campus Police Department, while faculty and staff register with the Facilities. All registered vehicles must maintain parking decals on their vehicles. Decals are to be placed on the inside (facing out) of the left upper corner of the rear driver's side window. If the vehicle has no rear window, the decal should be placed on the left upper corner of the driver's window. The registration is to be accomplished by the end of the first week of the school semester. A fine of five dollars ($15.00) will be imposed for each offense for either failure to register a vehicle or failure to display a Holyoke Community College parking decal. When driving a vehicle, which does not display a campus decal, a temporary permit must be obtained before parking.

DESIGNATED AND CONTROLLED PARKING Weekdays:
Parking is allowed in lined areas only as follows:

FACULTY & STAFF:
After 2:30 P.M.-4:00 P.M.  In accordance with assigned parking decals. In addition, E, F, K Lots are available to all faculty and staff.
After 4:00 P.M.  Any parking spot, except those designated for individuals with disabilities

STUDENTS:
6:00 A.M. to 4:00 P.M.  Lots A, B, C, D, M, N, O, P, Q, R and S.
4:00 P.M. to 11:00 P.M.  Lots A, B, C, D, E, F, H, K, L, M, N, O, P, Q, R and S.

INDIVIDUALS WITH DISABILITIES:
G-LOT ~ BY PERMIT ONLY ~.

VISITORS:
E, Upper-J, and designated areas only.

NO PARKING ZONES - All areas not lined, signed or marked for parking are no parking zones. This includes the perimeter road, (Campus Road), access lanes and turnaround areas in parking areas, traffic circles, loading and unloading zones along west side of A Building, west side of Frost Building, roadway to Lower J lot, walkway to D Building, along grassed areas, lawns, fields and open areas.

OVERNIGHT PARKING – Overnight parking is NOT permitted on the campus without prior written permission from the campus police department.

FINES FOR NON-MOVING VIOLATIONS - The following fines are established and are payable to the Student Accounts Services Office located in Frost Building, Room 221.

FINE $15

Please refer to the online version of this document as the most up-to-date copy.
Parking on a sidewalk
Parking on a crosswalk
Parking within 10’ of a fire hydrant
Parking within an intersection
Parking within a posted or marked fire lane
Parking within a posted “Tow” or “No Parking Zone
Parking so as to obstruct building entrance/exit
Parking within a bus stop or taxi stand
Double parking
Parking in front of barricade/gate/field entrance
Parking while college is closed due to inclement weather
Parking in front of a vehicle or pedestrian way
Parking in a posted delivery or service zone
Parking more than 12” from curb
Parking facing the traffic flow
Parking on land not meant or in use for vehicular traffic
Parking between 11 p.m. and 5 a.m.

FINE $20
Parking in a controlled parking lot without the proper permit

FINE $75
Parking in a lot or space designated for individuals with disabilities without a proper permit

Any vehicle parked in violation of H.C.C. parking rules and regulations, is subject to immediate towing at the expense of the owner/operator of the vehicle.

STUDENTS MAY NOT PARK IN THE VISITORS LOT AT ANY TIME.

SPEED LIMIT - 20 miles per hour on any campus roadway, and 10 miles per hour in any parking lot. Speeds greater than this shall be deemed unreasonable, except as otherwise posted, and for vehicles engaged in emergency work.

MOVING VIOLATIONS - Citations will be issued in accordance with the General Laws of the Commonwealth of Massachusetts.

SUMMER PARKING - Traffic Rules & Regulations are enforced all year, including the summer months. The Director of Public Safety makes temporary parking assignments. All persons issued a temporary assignment must properly display a permit on their vehicle.
11.1400 ANNUAL DISCLOSURE OF CRIME STATISTICS

As required by federal law, HCCPD yearly crime statistics are compiled on a calendar-year basis in accordance with the FBI’s definitions of crimes used in the Uniform Crime Reporting (UCR) system. The report includes statistics for the previous three years concerning crimes that occurred on campus reported to HCC Police, designated campus officials, including but not limited to directors, deans, department heads, dean of students staff, advisors to students, and athletic coaches. In addition, these statistics also include persons referred for campus disciplinary action for categories required under the Clery Act, including liquor and drug law violations, and illegal weapons possession. Statistical information for certain off-campus locations or property owned or controlled by the college as well as public property within or immediately adjacent to and accessible from the campus are collected or requested from the Holyoke police department. For statistical purposes, crime statistics reported to any of these sources are recorded in the calendar year during which the crime was reported.

The crime statistics tables located at the end of the annual security report are reflective of the requirements mandated by Federal law for compiling the report that became effective July 1, 2000.
11.1500 ANIMALS ON CAMPUS POLICY

The abandonment of animals on campus grounds is strictly forbidden. Wild or feral animals that are not a risk and do not represent a hazard, cause property damage, or create a public nuisance, and that do not involve human intervention, will be allowed to inhabit the campus grounds. Wild or feral animals that are a potential risk, represent a hazard, cause property damage, create a nuisance, or otherwise pose a potential conflict for humans will be regulated, controlled, and humanely relocated in accordance with all applicable laws and regulations.

Domestic animals (including service animals)

Dogs, cats, and other animals must be under control while on campus grounds, and restrained by a leash, chain or harness that does not exceed 6 feet in length and that is in control of a responsible person.

Any dog, cat, or other animal brought to campus must be licensed.

Fecal matter deposited by any dog, cat, or other animal brought to campus must be removed immediately and disposed of properly by the owner. The burden is on the animal user to arrange for removal of fecal matter if he or she is personally unable to perform the task.

Service animals and immediate patients of the Veterinary and Animal Science Department are allowed in campus buildings. Except as noted above, dogs, cats, and other animals may not enter campus buildings.

Domestic animals and pets found tethered, unattended, or abandoned may be humanely impounded in accordance with all applicable laws and regulations.

Service Animals

According to the Americans with Disabilities Act (ADA), a “service animal” is defined as “any animal individually trained to do work or perform tasks for the benefit of an individual with a disability, including, but not limited to, guiding individuals with impaired vision, alerting individuals to an impending seizure or protecting individuals during one, alerting individuals who are hearing impaired to danger, or pulling a wheelchair and fetching dropped items.” A clear and explicit rationale must exist for the function or service that the animal will fulfill in order to receive this accommodation.

Use of a service animal on campus may be prohibited if the use of the animal poses a direct threat to the health or safety of other persons, or if the presence of the service animal will result in a fundamental alteration of the service, program, or activity involved. (Title II of the ADA Regulations, 28 D.F.R. – 130 [b] [7])

The owner must be in full control of the service animal at all times.
12.000

SPONSORED PROGRAMS, GRANTS & CONTRACTS

Please refer to the online version of this document as the most up-to-date copy.
12.100 GRANTS, CONTRACTS AND COOPERATIVE AGREEMENTS FOR SPONSORED PROGRAMS

PURPOSE: This policy establishes principles essential for the sound management and administration of grants, contracts and cooperative agreements for sponsored programs. These principles provide appropriate controls for the procedures and criteria for the acceptance and management of externally funded programs. This policy assigns responsibility to organizationally separate offices and individuals for each step in the post-award administrative process.

The College engages in a wide variety of programs and projects, which are supported by funds from external agencies and organizations. The most common mechanisms used by external organizations to provide support are categorized as: Grants or Contracts. Less common are Cooperative Agreements.

The management procedures for the three general mechanisms are essentially the same. Each is treated by the college as a specification of obligations, which requires accountability for expenditures, and evidence of performance consistent with the intentions of the sponsor.

The Grant Manager and Grant Accountants conduct the fiscal management activities, including budgeting, contracting, and accounting under the supervision of the Comptroller and the authority of the Vice President for Administration and Finance. The Grant Accountant also works closely with the college’s Business Office and Bursar’s Office to process and document spending transactions. The Grant Manager also works closely with the funding agencies, supervising deans, key personnel, and program representatives, monitors and auditors from the external funding agencies to develop and amend budgets.

DEFINITIONS:
Grant: A grant is an award to the college which does not require the production of specific results or services, but which typically defines objectives (either as proposed by the college or defined by the sponsor) toward which the award proceeds are to be applied. The grant award is usually restricted as to where, by whom, and for what purposes the proceeds may be used. Interim and/or final financial and program reports are generally required. Sub-awards from a partnering agency(s) are typically referred to as grants.

Contracts: Contracts are agreements between one or more sponsors and the college. The terms of the agreement outline very specific goals and requirements for goods and/or services to be provided by the college to the sponsor. It is routine for these goods or services to be provided on a specific schedule. The relationship between the sponsor and the college is one of procurement. Although often referred to as a contract, seldom is a procurement contract handled by the Grants Management Office.

Cooperative Agreements: Cooperative agreements are basically bilateral grants, used when substantial sponsor involvement is anticipated in the management and/or performance of the sponsored activity. Federal award policies and procedures referred to in relationship to federal funds awarded directly to the College are applied to federal funds that flow through the state or other agencies, when Catalog of Federal Domestic Assistance, CFDA, numbers are provided and/or identified to in the agreement.

12.100
APPLICATION OF POLICY
This policy applies to all grants, contracts and cooperative agreements awarded to the college. Additional policies and procedures may be instituted for selected awards and programs that are more, but not less, restrictive than the conditions of this policy.

ORGANIZATION
The division of Administration and Finance under the direction and supervision of the Vice President has responsibility for conformance with this policy. The Comptroller and Grants Manager establish practices and procedures to implement policy approved by the Vice President for Administration and Finance. Project managers, federally identified key personnel, or principal investigator (hereafter referred to as the program director) responsible for initiating contact and collaborating with the Comptroller and/or Grant Management staff for all post-award fiscal services and related activities. The Comptroller and/or Grant Manager under the supervision of the Vice President for Administration and Finance will serve as the formal point of contact between the college and funding agencies on administrative and financial matters.

Program directors are responsible for developing budgets and budget amendments and reviewing them with the Comptroller and Grants Manager. The Vice President for Administration and Finance or designee is responsible for final certification of all sponsored program budgets and amendments. Requests for changes that require prior approval by the funding agency are prepared by the program director and endorsed by the Grants Manager before being submitted to a fiscal certifying agent of the college. The fiscal certifying agents at the college for externally funded projects are the President, Vice President for Administration and Finance and the Comptroller. The program director is responsible for administering the project in conformance with the approved budget, which is assured by signature to encumber funds and disburse funds against a sponsored program account. The Grants Manager advises the program director when making decision related to conformance with the budget and compliance with allowable costs. The Grant Accountant is responsible for keeping accounts up-to-date for purposes of disbursing funds.

The Grant Accountant will initial each encumbrance against a sponsored program budget ensuring that funds are available in the approved budget line item for the expenditure. The Comptroller and Business Office will not process disbursements on any account unless funds are available or unless approval for transfer or advances has been given in accordance with the budgets and this policy.

All divisions of the college implementing externally funded activities have primary responsibility to spend funds and conduct the project consistent with federal and state laws, all college policies, and with the highest ethical standards. In addition, all fiscal compliance issues related to the substantive conduct of the project (funds spent proportionate to activities and outcomes), adherence to the terms and conditions, initiation of personnel and purchasing actions, disclosure of potential conflicts of interest, and equipment inventory are under the supervision of the Vice President for Administration and Finance or designee.

12.101

Please refer to the online version of this document as the most up-to-date copy.
Post-Award Internal Control Policies and Procedures

General

Inasmuch as the award is made to the college and not to an individual, the College is legally responsible for the project and more importantly, for fulfilling the sponsor’s requirements. These policies are not designed to cover awards made directly to an individual employed by the college. (i.e. Fulbright Scholars, etc.)

The Vice President for Administration establishes the controls necessary to assure sound management of sponsored programs. The Comptroller through the Business Office and Grants Management staff will coordinate all accounting and fiscal matters relating to sponsored agreements among college administrative departments and program directors. If College fiscal policies are more restrictive than the terms and conditions of the sponsored agreement, College policies will take precedence over the sponsored agreement.

Establishing Accounts and Budgets

The Comptroller is responsible for the timely establishment of accounts in the College’s financial systems in accordance with the terms and conditions of the sponsored agreement. A new account and unique account number will be assigned to each grant award, contract, or cooperative agreement. This responsibility is assigned to the Lead Software Product Manager -Finance. The Comptroller generally assigns the Grants Manager the responsibility of implementing procedures that ensure accurate and timely set-up of shadow budgets spreadsheets for each grant or contract that align with the budget lines and reports agreed to with the funding agencies. The Assistant Comptroller (or designee) inputs the budget into the Banner financial software management system. The Grant Accountant works directly with the Lead Finance Software Product Manager to obtain an account number in the Banner system.

Billing and Reimbursement

It is the responsibility of the program director to communicate with the Comptroller or Grant Manager, on a timely basis, any information received from the funding agency that includes the schedule, reporting structure, and expectations for documenting expenditures at the time of billing or drawing down reimbursement of funds. The Grant Manager completes the required fiscal narrative related to reporting. The Grants Accountant prepares billings and reimbursement paperwork (including OMB forms) for authorizing signatures. Unless otherwise agreed to by the President or Vice President for Administration and Finance (or designee) all payments under grants, restricted contracts and agreements will be in the name of Holyoke Community College. The Vice President for Administration and Finance or the Comptroller will authorize drawdowns through governmental on-line payment management systems. The Senior Accountant in the Business Office processes the actual drawdown of funds from the governmental agency to the appropriate college bank account, and does not produce or complete the spending reports. This procedure models the two-part reimbursement systems (reporting electronically at one site and drawing down at another site) used by several federal agencies.

12.102

Please refer to the online version of this document as the most up-to-date copy.
Indirect Cost Rates

The College’s cognizant federal agency is Health and Human Services. The Grants Manager is responsible for reporting this rate to Massachusetts Department of Education each year. State and federal agencies often set a maximum total modified indirect rate that may be charged to the grant by the college. The rate agreed to by the Vice President for Administration and Finance at the time the sponsored agreement/contract is negotiated does not vary and will not be changed or waived without the approval of the President or Vice President for Administration and Finance. At no time are federal funds approved for direct program costs converted and expensed as an added indirect cost not identified at the time the contract was entered into. Award funds identified as indirect cost rate approved by the federal agency are not to be converted and charged as direct costs without written approval from the funding agency. The treatment of indirect costs and direct costs are consistent for all grants. The allocation of indirect costs among grant proposals is done in an equitable manner, when costs for activities overlap multiple funding sources.

Expenditures

The Grants Manager, or Grant Accountant (i.e. the grants management staff) review and approve all expenditures for compliance with sponsor requirements (including OMB circulars and federal codes) and college policies as outlined section 4.000 (purchasing) this manual. The signatures of employees who are authorized to expense funds for each grant are on file in the Administration and Finance Division of the college.

Authorizations for payments involving non-employee expenditures require approval by the supervising vice president, dean, or program director, verifying that the product has been received or service completed. All personnel action forms require certification by the Vice President for Administration and Finance that funding is available. The grants management staff will review personnel action forms for initial appointments and any change in compensation rates before initialing that adequate personnel funds are available and allowable by the funding agency. The grants management staff work with the supervising deans and program managers to inform those funding agencies that require notification of personnel funding changes. The supervising vice president, dean, or program director sign payroll time sheets, and time and effort reports and are responsible for verifying that time and effort have been accurately proportioned among grant and/or college accounts.

The grants management staff provide advice and service to supervising deans and program directors to guide expenditures in a manner that assures maximum benefit, utilization of funds from sponsored agreements, while ensuring all costs are allowable.

Equipment purchases are linked to the College’s internal control policy for tracking equipment. The more restrictive of the college or the federal funding agency, will be followed for equipment purchased with federal award fund.
Institutional Commitments

Institutional commitments in the form of required match or in-kind contributions must be documented. When this occurs, it is the responsibility of the supervising dean and/or program director to maintain records of actual cost sharing expenditures. In circumstances where invoicing and reimbursement of funds are dependent on the providing match documentation, copies of required match must be provided to the Grant Manager or Grant Accountant and kept in the fiscal files.

In cases where a particular sponsor restricts the recovery of indirect costs by the college and requires match, the unrecovered portion of those costs may be shown in the project budget as cost sharing. Grants management will report as match, the federally approved indirect cost rate at the time the funds are expended, not the time that the budget is originally approved.

In instances where cost sharing requirements include cash or that a percentage of cost will be shared for a budget line item, the Comptroller or designee will provide the Grant Accountant with the appropriate college account to which the shared costs will be charged.

Audit

Sponsored projects are subject to agency audits, state audits, and any internal or external audit the college may choose to conduct on a grant, contract or cooperative agreement. Federal awards are subject to the annual audits by the College’s independent auditors as dictated by the Office of Management and Budget Circular A133. In coordination with the funding agency, the Vice President for Administration and Finance and the Comptroller will create a plan for the timely and appropriate resolution of any audit findings or recommendations.

Amendments

All changes in a sponsored agreement, including time extensions and carryover balance requests, are obtained by a formal amendment request whenever the changes are not covered by “Expanded Authorities” or provided in the funding agency’s guidance.

The Vice President for Administration and Finance and/or Comptroller signs any fiscal changes that affect existing contract or grant award notification statement after review by the Grants Manager.
Sub-grants and Sub-contracts

These same policies apply to all sub-grants and sub-contracts whether received or issued by the college. In the case of federal funds, the sub-contractor is generally subject to the same terms and conditions of the award as is the college. Therefore, the supervising dean/program director reviews and approves the statement of work in the sub-contract/award agreement written by the college. The Grants Manager reviews the budget before it is sent to the President and/or Vice President for Administration and Finance (or designee) for authorizing signature(s). The President and/or Vice President for Administration and Finance/Comptroller approve extensions and changes to the subcontracts.

Policies and Procedures

Grants, Contracts and Sponsored Agreements

Policy: Procurement and Payment of Goods and Services. Grant disbursements are processed under the same degree of controls applicable to other transactions for the procurement and payment of goods and services.

Procedures:

1. Grant funded procurement and payments for goods and services adhere to College requirements.

2. The College must adhere to the funding agency’s requirements

3. Grants Management staff serve as the point of information and contact through which the program director initiates procurement and payment. Grant Management staff, usually the Grant Accountant, assists in processing the paperwork thorough the Business Office.

4. The purchase of equipment is linked to college and funding agency requirements for tracking equipment.

Policy: Differences exist between the conditions of the award agreement and the college’s normal internal control policies. Procedures are modified when funds are disbursed under grant/contract/cooperative agreements and related regulations impose requirements that differ from the entity’s normal policies.

Procedures:

1. Grants and Contacts are restricted funds. The project director in collaboration with the Grants Manager develops a budget that clearly identifies the expenditures related to a specific project and notes any additional internal controls required by the funding agency (for example travel restrictions or equipment monitoring).

2. The Grant Account approves expenditures in relationship to the approved budget and specifics for each award. The Grant Accountant consults with the Comptroller and Grant Manager when questions arise around differences in the college normal internal control and the award agreement.

12.105

Please refer to the online version of this document as the most up-to-date copy.
Policy: Procedures and controls exist to provide reasonable assurance that the draw-down of Federal cash is only for immediate needs.

Procedures:

1. The draw-down of Federal cash is on a cost reimbursement basis that is specifically identified by the Grant Manager, or Grant Accountant.

2. The Comptroller or designee authorizes the Business Office Senior Accountant to draw down federal funds on a cost reimbursement basis. For federal agencies that have a linked financial status report and request for funds such as NEH, the Grants Manager and/or Grant Accountant complete the coordinated transactions. For NSF awards the Grant Accountant works with PI to review all costs; the Grant Accountant reconciles the Banner Account with the Excel spreadsheet system; the Comptroller/Assistant Comptroller sign to approve the related Journal Entry form, Grant Accountant prepares a spending report for the Grants Manager. The Grants Manager certifies and submits the ACM$ through Research.gov.

As individual federal awarding agencies move to unique online systems to draw down funds, the Comptroller, Grant Manager, and Grant Accountants draw down funds as directed by the funding agencies including the Business Office Senior Accountant when applicable.

3. The draw down schedule is followed in accordance with the agreed upon schedule with each federal funding agency. The most typical schedule is a quarterly drawdown, often preceded by the submission of federal form, other recognized financial reporting statement, or online financial system provided/required by federal funding agency.

4. The Grants Manager or the Grant Accountant completes on-line submissions of financial reports prior to the draw-down of funds.

5. The Grant Accountant provides the up-to-date financial information to all parties submitting reimbursement paperwork or drawn down processing. Grant Accountants work closely with PI’s, Project Directors, and supervising Deans to verify all costs are allowable, applicable, and reflected in the project budget prior to submitting reimbursement paperwork or drawing down funds.

6. Typically reimbursements are electronically wired into the college account for federal funds.

7. The Comptroller is informed of all reimbursement transactions and provides authorizing signatures when required.

8. After the funds have been received, the Senior Accountant informs the Grant Accountant and Grant Accounts inform Senior Accountant as to which grant account payment should be applied to.
Policy: Control exists to provide reasonable assurance that Federal funds are used only during the authorized period of availability.

Procedures:

1. All sponsored agreements have beginning and end dates.

2. All expenditures and time and effort take place within the parameters of the project period.

3. The Grant Manager under the supervision and approval of the Comptroller completes cost extension and carryover balance requests in writing. Grant Accountants, Grant Manager, and PI’s work with funding agencies prior to completing cost extension and carryover balance requests to ensure requests are allowable and appropriate before submission.

4. When an award is made to the college, the Lead Finance Software Product Manager creates an individual account number for the award, which includes the start and end dates of the project spending period.

5. The Grant Manager and Grant Accountant inform the supervising dean/project director/PI by way of a copy of the award notification and account information of the currently approved spending timeline for an award.

6. The Grants Manager prepares budgets based on spending agreements taking into consideration the project activities and outcomes, award terms and agreement, and relevant Uniform Guidance. The Grant Accountant matches requests for expenditure (i.e. purchase order, requests to travel, employee contracts, consultant contracts, etc.) with the approved budget and initials requests to spend verifying funds are available and allowable at the time of encumbrance.

7. The Grants management staff review all requests to expend funds before sending them through the Comptroller and Business Office to ensure that delivery of goods and services will occur within the project period.

Policy: Controls exist to ensure that costs charged to grants are in compliance with sponsored agreements or contract requirements.

Procedures:

1. All awards have an approved line item budget indicating direct and indirect cost rates.

2. Based on the approved budget, the Grant Accountant sets up a shadow spreadsheet budget that matches the budget line items that are consistent with the funding agency’s reporting requirements. Reporting is based on the approved time period and spending timeline.

3. The Grant Manager and/or AOR/PI communicate directly with the federal funding agencies when questions concerning allowable costs surface.

12.106
Policy: Procedures exist for obtaining grantor approval before incurring expenditures in excess of budgeted amounts or for unbudgeted expenditures.

Procedures:

1. Many federal agencies grant the college expanded authority to move funds within budget line items and among budget categories up to a 10%-20% change before a budget modification or amendment is required. The Grants Manager reviews all federal fiscal guidance including grant manuals provided by the funding agency and keeps budget changes within the expanded authorities and fiscal guidelines.

2. The Grant Accountant informs the Grant Manager and the Project Director when budget lines items need modifying. The Grant Management in collaboration with the Project Director, complete all required amendment paperwork and wait for funding agency and college administration approval before spending in accordance with the newly modified budget.

3. The Vice President for Administration and Finance or the Comptroller approves and provides authorizing signature for amended budgets.

4. If approved, the amended budget will be changed in the college’s financial management software system and in the shadow accounting system aligned with the federal agency budget categories and reporting requirements.

Policy: An indirect cost allocation plan is established and has been developed in accordance with grantor requirements and approved as required by the grantor.

Procedures:

1. The Comptroller negotiates the indirect rate for the college.

2. The College’s cognizant federal agency is Health and Human Services

3. The negotiated indirect cost rate is calculated every three years and is currently based on salaries, wages and fringe.

4. The Grant Manager works with the funding agencies to ensure the college does not exceed the maximum allowable indirect rate or costs approved at the time of the award.

5. The Vice President for Administration and Finance/Comptroller approves any changes in the indirect rate or costs reimbursed prior to requesting the changes of the funding agency.
Policy: Grant Activity is accounted for so that it can be separated from the accounting for locally funded activities.

Procedures:

1. The Lead Finance Software Product Manager established accounts for sponsored awards in individual accounts with separate general ledger funds and subsidiary ledger funds in an account number range designating they are restricted funds.

2. Accounts are coded restricted and are differentiated from appropriate and trust fund accounts that are coded unrestricted. Lead Finance Software Product Manager establishes all restricted accounts in the college accounting system under the direction of the Comptroller.

Policy: Procedures exist to monitor compliance with grant reporting requirements. Procedures:

1. All sponsored agreements require financial reporting, which may be on a quarterly, semi-annual and/or yearly basis. In some cases monthly reporting may be required. The Grants Manager and Grant Accountants, communicate on a regular basis to complete timely and accurate fiscal reports to the funding agency. It is the responsibility of the Grants Manager to ensure that all accounts are accurate and that proper documentation exists in the Grant Accountants fiscal files before seeking the Comptroller’s or Vice President for Administration and Finance’s signature verifying accuracy of the financial reports.

2. The Project Director completes program performance reporting, in some cases with the Resource Development Office. The grants management office will provide related financial information documenting spending on grant activities and outcomes.

3. Expenditures in relationship to program components is provided by the Grant Manager or Grant Accountant

Policy: Procedures and controls exist to provide reasonable assurance that only eligible individuals receive assistance under Federal award programs and that amounts provided to or on behalf of eligible students were calculated in accordance with program requirements.

Procedures:

1. Disbursements to eligible federal program participants are made according to prescribed procedures and within prescribed limits defined in the federal register, program guidelines and award agreements.

2. Responsibility for authorizing disbursement of supplemental grant aid, transportation or childcare reimbursements, stipends, is independent of the disbursing function.

3. The Financial Aid Office is informed of payments that may affect a student’s financial aid packet, in order to preclude the awarding of assistance in excess of a student’s financial need.

12.108
12.200 GENERAL GUIDELINES AND PROCEDURES FOR MONITORING SUBRECIPIENTS – FEDERAL GRANT AND SPONSORED RESEARCH FUNDS

This section is an example of wording used in subrecipient agreements and monitoring. As Uniform Guidance, OMB language, federal spending thresholds, and other regulations are revised; wording will be updated as part of subrecipient agreements.

Holyoke Community College (College) is responsible for the programmatic and financial monitoring of its sponsored research and grant award recipients. For purposes of these guidelines, Holyoke Community College is considered the “prime” recipient or the “pass-through” entity. Third party organizations that enter into contractual agreements based on the prime or pass-through award are considered to be “subrecipients”.

These guidelines are provided to assist responsible faculty, staff, and administrators in ensuring that subrecipients conduct their portion(s) of sponsored programs and projects in compliance with applicable laws and regulations as well as with the terms and conditions of prime awards and subawards/subcontracts/subagreements. The guidelines further assist PI/faculty and grant coordinators in distinguishing subrecipients from vendors and identifying roles and responsibilities for subrecipient monitoring. Guidelines were designed to meet or exceed the minimum standards for subrecipient monitoring as described in the “Risk Assessment Monitoring Tool” and “Financial and Administrative Monitoring Tool” developed by the Association of Governmental Accountants, Inter-Governmental Partnership and provided by the State Comptroller’s Office. Resources from the Federal Demonstration Project (FDP) are included as recommended prototypes for contract development that ensure compliant subrecipient monitoring.

Definitions:
Prime Recipient: The “Prime” recipient is the direct recipient of funds to support a sponsored project. When a project is funded by an outside federal, state, or private source it is referred to as a “Grant” or “Sponsored Project”.
Pass-through Entity: When a Prime makes an award to a subrecipient, the Prime may also be referred to as the Pass-through entity. A pass-through entity delegates a portion of work responsibility of the funded project to the subrecipient via a subaward/subcontract. Once a Prime makes an award through a subcontact/subaward the prime recipient may be referred to as a pass-through entity. When a subcontract is issued under a federally funded grant or contract, the prime recipient of those funds is accountable to the federal government for how the project is managed.
Subrecipient: The “Subrecipient” is the legal entity which will be responsible for carrying out a portion of sponsored project or externally-funded program. Funds and responsibilities are passed down to a subrecipient through a legal document called a subaward, subcontract.
Subaward/Subcontract: The legal agreement between a prime awardee, Holyoke Community College, and a subrecipient. A subcontract/subcontract outlines the scope of the work, budget, and laws and regulations that the subrecipient must adhere to.
Vendor: Vendors are individuals or entities operating in a competitive environment, from which prime and sub-recipients procure goods and services to carry out the federal project or program. They are not subject to the terms and conditions of the federal award. Other types of contracts are vendor relationships, which are governed by Commonwealth and College procurement policies.

Distinguishing between a Sub-recipient that requires monitoring and a vendor agreement:

In some cases, it may be difficult to tell the difference between a sub-recipient and a vendor agreement. The
budget and statement of work will usually provide enough information to make the determination. The following grid outlines the key components of subcontracts and vendor relationships. Use it as a guide to proper classification of a contractual relationship. Sub-recipient monitoring can take on various forms and is not limited by the practices described below.

<table>
<thead>
<tr>
<th>Sub-Recipient</th>
<th>Vendor Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Typically a not-for-profit or government entity that provides services to a</td>
<td>Vendor provides goods or services commercially to both government and non-</td>
</tr>
<tr>
<td>government entity or the public such as a city, town, hospital, or university</td>
<td>government entities.</td>
</tr>
<tr>
<td>Determines who is eligible to receive what federal financial assistance and</td>
<td>Vendor operates in a competitive environment.</td>
</tr>
<tr>
<td>how the federal funds will be used to fulfill the federal program purposes.</td>
<td></td>
</tr>
<tr>
<td>Is subject to federal sub-recipient monitoring requirements; has responsibility</td>
<td>Provides similar goods or services to many different purchasers.</td>
</tr>
<tr>
<td>for adherence to applicable federal program compliance requirements.</td>
<td></td>
</tr>
<tr>
<td>Uses the federal funds to carry out a program of the entity as compared to</td>
<td>Vendor provides the goods or services ancillary to the operation of the federal</td>
</tr>
<tr>
<td>providing goods or services for a program of the pass-through entity.</td>
<td>program.</td>
</tr>
<tr>
<td>Has responsibility for programmatic decision making delegated from the initial</td>
<td>Is not subject to the compliance requirements of the federal program.</td>
</tr>
<tr>
<td>recipient.</td>
<td></td>
</tr>
</tbody>
</table>

Sub-Recipient vs. Vendor Agreement – Examples

<table>
<thead>
<tr>
<th>Sub-Recipient</th>
<th>Vendor Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>A state department of education (pass-through entity) receives a federal</td>
<td>A state department (prime recipient) receives a federal award to provide mental</td>
</tr>
<tr>
<td>award and is responsible for administering and disbursing the federal award</td>
<td>health services in a designated area. Some of the funds are paid to a contractor</td>
</tr>
<tr>
<td>to local school districts (sub-recipients) according to a formula or on some</td>
<td>(vendor) to repair a leaking roof.</td>
</tr>
<tr>
<td>other basis.</td>
<td></td>
</tr>
<tr>
<td>A state planning commission (pass-through entity) receives a federal award</td>
<td>A prime recipient receives a federal award to operate specialized preschool</td>
</tr>
<tr>
<td>for the feeding of elderly and low-income individuals, and the award is</td>
<td>programs and pays a vendor to provide temporary clerical services.</td>
</tr>
<tr>
<td>disbursed to not for profit (NPO) organizations (sub-recipient) to support</td>
<td></td>
</tr>
<tr>
<td>their feeding programs.</td>
<td></td>
</tr>
<tr>
<td>A state arts commission (pass-through entity) awards funds from a federal</td>
<td>A prime recipient receives a federal award to run a preschool and pays a doctor</td>
</tr>
<tr>
<td>grant to a theater group (sub recipient) to support a summer arts series.</td>
<td>(vendor) to perform health screening on a per-student basis.</td>
</tr>
<tr>
<td>A University (pass-through entity) receives a federal grant to study a</td>
<td>A prime recipient receives a federal award to operate a child care center and pays</td>
</tr>
<tr>
<td>disease and awards funds to a hospital (sub-recipient) for part of the</td>
<td>a not-for-profit clinic (vendor) to perform physical exams.</td>
</tr>
<tr>
<td>research.</td>
<td></td>
</tr>
</tbody>
</table>

(taken from MA State Comptroller’s Office, Sub-Recipient Monitoring guidance)
Subawards/SubContracts and Subrecipient Monitoring Procedures:

When the college is the prime recipient or a pass-through entity of federal awards, the college monitors the activities of subrecipients. The following is provided to assist PI/faculty and staff in ensuring that subrecipients conduct their portions of projects in compliance with laws, regulations, and the provisions of awards or subawards; and that project costs incurred by subrecipients are reasonable and allowable.

Background Information

When additional resources are needed to adequately plan and execute subrecipient monitoring, the responsible staff consults relevant resources. The primary resources are:

Governing Requirements: The requirements for sub-recipient monitoring are contained in 31 USC 7502 (f) (2)
(B) (Single Audit Act Amendments of 1996 (Pub. L. 104-156)), OMB Circular A-133 (§__.225 and
(§__.400 (d)), OMB Circular A-110 (§__.51 (a)), Federal awarding agency program regulations, and the terms and conditions of an award.

2009 OMB Compliance Supplement

The OMB Supplement (1) outlines the following forms of monitoring activity:
- Reporting—Reviewing financial and performance reports submitted by the subrecipient
- Site Visits—Performing site visits at the subrecipient to review financial and programmatic records and observe operations
- Regular Contact—Regular contacts with the subrecipients and appropriate inquiries concerning program activities.

MA Office of the Comptrollers

Recommendations and tools contained in the Control and Compliance Best Practices Working Group’s Sub- Recipient Monitoring document. The suggested tools were published by the Association of Governmental Accountants, Intergovernmental Partnerships “Risk Assessment Monitoring Tool” and “Financial and Administrative Monitoring Tool.”

Risk-Based Assessment Approach for Monitoring Subrecipients

For each subrecipient that is awarded a subcontract/subaward, the college designs a monitoring plan that is based on risk assessment, as certain subrecipients and particular projects may require closer scrutiny in light of considerations listed below. Size of the subrecipient award. Other factors being equal, large awards (for example with annual budgets >$500,000 may receive proportionately more frequent review and monitoring; mid-sized awards (annual budget $100,000-$500,000 may receive proportionately less substantial
- Award size relative to the subrecipient’s total budget.
- Percentage passed through: the larger the percentage of program award passed through, the greater the need for subrecipient monitoring.
• Award complexity, sensitivity of the work and/or extensiveness of the governing regulations.

• Prior experience with the subrecipient, e.g. a new subrecipient, an inexperienced subrecipient, a history of non-compliance, having new personnel, or having new or substantially changed systems.

• Degree of external oversight by auditors or sponsoring agencies. As a Commonwealth department, the college is obligated to monitor subrecipients of its federal awards, regardless of subrecipients being subject to Single audits.

• Sophistication of the subrecipient’s system and administrative operations.

A review of the criteria listed above is completed for each subaward/subcontract before a subrecipient monitoring plan is finalized. Upon identification of subrecipients that mandate closer scrutiny, the college takes appropriate monitoring actions to ensure compliance with subagreement performance, financial terms and conditions, and all applicable federal rules and regulations.

At a minimum, the Subrecipient Monitoring Form/Checklist will be completed by the PI/grant coordinator and submitted to grants management after each monitoring and at least one time per award year. Supervisors of subrecipients may decide that monitoring exceeding what is required in the Subrecipient Monitoring Checklist is necessary, and are advised to take the extra precautions required based on their assessment of risk.

Additional monitoring documents should also be forwarded to grants management to be included in the fiscal files.

**Monitoring Subrecipients**

Roles and Responsibilities

**Principle Investigators (PI), Grant Coordinators,** and the supervising Deans/Vice Presidents of the sponsored project, have responsibility for monitoring subrecipients to ensure compliance with federal regulations and both prime and subrecipient award terms and conditions. Responsibility starts at the pre-award stage of proposal development and continues post-award. Post award responsibilities include developing contracts with subrecipients and monitoring the subaward/contract through close-out.

The Grants Management Team and the supervising Comptroller/Vice President of A&F have responsibility for ensuring that the College’s subrecipient monitoring procedures are compliant with federal and other applicable regulations and is consistent with sound business practices and the College’s internal control policies. The Grants Management Team supports the PI/Grant Coordinator and provides oversight of fiscal monitoring and keeps records on file of programmatic monitoring administered by the PI/Grant Coordinator.

**Federal Regulations**

When negotiating subcontracts/subawards and monitoring subrecipients, the PI/Grant Coordinator addresses the following core elements of compliance generally described in federally regulations:

1. Advising subrecipients of all applicable federal laws and regulations, and all appropriate flow-down provisions from the prime agreement

Please refer to the [online version](#) of this document as the most up-to-date copy.
2. The routine receipt and review of Technical Performance Reports
3. The routine Review of Expenses-to-budget
4. The periodic performance of On-site Visits, or regular contract, if necessary
5. The option to perform “audits” if necessary
6. Review of A-133 audit reports filed by subrecipients and any audit findings
7. Review of corrective actions cited by subrecipients in cases of continued inability or unwillingness to have required audits or to correct non-compliant actions.

The above list is not exhaustive of all compliance requirements. In addition to the general elements of compliance, there may be additional sponsor or program specific requirements that mandate collecting and documenting other assurances (e.g. human subjects, biohazards, ARRA regulations etc.) during the course of a project.

**Contracting with Subrecipients**

**Contract Format**
The college’s Subaward Agreement, including all relevant attachment pages will be used when contracting with subrecipients.

**Signatures**
All Subaward Agreements require a fiscal review and signature prior to being forwarded to the contractor.

**Attachments**
1. Subaward Agreement for contracting with Subrecipients
2. Subrecipient Monitoring Checklist
3. Risk Assessment Monitoring Tool recommended by the state of MA.
4. Financial and Administrative Monitoring Tool recommended by the state of MA.

Further Information and Guidance is available from Grants Management.
Subaward Agreement

<table>
<thead>
<tr>
<th>Institution/Organization</th>
<th>Institution/Organization (Collaborator/Subrecipient)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td>Name:</td>
</tr>
<tr>
<td>Address:</td>
<td>Address:</td>
</tr>
<tr>
<td>CRR #</td>
<td>DUNNS #, EIN #:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Prime Award No.</th>
<th>Subaward No.</th>
</tr>
</thead>
</table>

| Awarding Agency          | CFDA No.      ARRA funds separately identified with amount |
|--------------------------|---------------|----------------------------------------------------------|

<table>
<thead>
<tr>
<th>Subaward Period of Performance</th>
<th>Amount Funded this Action</th>
<th>Est. Total (if incrementally funded)</th>
</tr>
</thead>
</table>

| Project Title |

<table>
<thead>
<tr>
<th>Reporting Requirements</th>
<th>[Check here if applicable: ☐ See Attachment 4]</th>
<th>ARRA Funds</th>
<th>[Check here if applicable: ☐ See Attachment 4A]</th>
</tr>
</thead>
</table>

**Terms and Conditions**

1. Holyoke Community College hereby awards a cost reimbursable subaward, as described above, to Collaborator/Subrecipient. The statement of work and budget for this subaward are (check one): as specified in Collaborator’s proposal dated ; or as shown in Attachment 5. In its performance of subaward work, Collaborator shall be an independent entity and not an employee or agent of the College.

2. Holyoke Community College shall reimburse Collaborator/Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Collaborator’s standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. *Invoices that do not reference the subaward number shall be returned to Collaborator/Subrecipient.* Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party’s Financial Contact, as shown in Attachment 3.

3. A final statement of cumulative costs incurred, including cost sharing, marked “FINAL,” must be submitted to Holyoke Community College PI/Coordinator Contact NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Subrecipient’s final financial report.

4. All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Collaborator/Subrecipient.

5. Matters concerning the technical performance of this subaward should be directed to the appropriate party’s PI/Project Director, as shown in Attachment 3. Technical reports are required as shown above, “Reporting Requirements.”

6. Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party’s Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement require the written approval of each party’s Authorized Official, as shown in Attachment 3.

7. Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.

8. Either party may terminate this agreement with thirty days written notice to the appropriate party’s Administrative Contact, as shown in Attachment 3. Holyoke Community College shall pay Collaborator/Subrecipient for termination costs as allowable under OMB Circular A-21 or A-122, or 45 CFR Part 74, as applicable.

9. No-cost extensions require the approval of Holyoke Community College. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.

10. The Subaward is subject to the terms and conditions of the Prime Award, and other special terms and conditions, as identified in Attachment 2.

By an Authorized Official of Holyoke Community College: ____________________________ ____________________________ Date

By an Authorized Official of Collaborator/Subrecipient: ____________________________ ____________________________ Date

Please refer to the online version of this document as the most up-to-date copy.
Attachment 1 Subaward Agreement

By signing the Subaward Agreement, the authorized official of Collaborator/Subrecipient certifies, to the best of his/her knowledge and belief, that:

Certification Regarding Lobbying

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Collaborator, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Collaborator shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," to the University.

3) The Collaborator shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U. S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Debarment, Suspension, and Other Responsibility Matters
Collaborator certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

OMB Circular A-133 Assurance
Collaborator assures University that it complies with A-133 and that it will notify Holyoke Community College of completion of required audits and of any adverse findings, which impact this subaward.
Attachment 2 Subaward Agreement

Prime Award Terms and Condition
and HCC Contract for Services Terms and Conditions

1. Prime Agency-Specific Certifications/Assurances

2. General terms and conditions as of the effective date of this Research Subaward Agreement:

3. Holyoke Community College Contract for Services Terms and Conditions apply. (See attached HCC contract)
### Attachment 3 Subaward Agreement

<table>
<thead>
<tr>
<th>Holyoke Community College Contacts</th>
<th>Collaborator/Subrecipient Contacts</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Administrative Contact</strong></td>
<td><strong>Administrative Contact</strong></td>
</tr>
<tr>
<td>Name:</td>
<td>Name:</td>
</tr>
<tr>
<td>Address:</td>
<td>Address:</td>
</tr>
<tr>
<td>Telephone:</td>
<td>Telephone:</td>
</tr>
<tr>
<td>Fax: Email:</td>
<td>Fax: Email:</td>
</tr>
<tr>
<td><strong>Principal Investigator</strong></td>
<td><strong>Project Director</strong></td>
</tr>
<tr>
<td>Name:</td>
<td>Name:</td>
</tr>
<tr>
<td>Address:</td>
<td>Address:</td>
</tr>
<tr>
<td>Telephone:</td>
<td>Telephone:</td>
</tr>
<tr>
<td>Fax: Email:</td>
<td>Fax: Email:</td>
</tr>
<tr>
<td><strong>Financial Contact</strong></td>
<td><strong>Financial Contact</strong></td>
</tr>
<tr>
<td>Name:</td>
<td>Name:</td>
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<tr>
<td>Address:</td>
<td>Address:</td>
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<tr>
<td>Telephone:</td>
<td>Telephone:</td>
</tr>
<tr>
<td>Fax: Email:</td>
<td>Fax: Email:</td>
</tr>
<tr>
<td><strong>Authorized Official</strong></td>
<td><strong>Authorized Official</strong></td>
</tr>
<tr>
<td>Name:</td>
<td>Name:</td>
</tr>
<tr>
<td>Address:</td>
<td>Address:</td>
</tr>
<tr>
<td>Telephone:</td>
<td>Telephone:</td>
</tr>
<tr>
<td>Fax: Email:</td>
<td>Fax: Email:</td>
</tr>
</tbody>
</table>
Attachment 4 Subaward Agreement

1. Reporting and recordkeeping requirements:

2. Additional related reporting requirements: include list of attachments when applicable)
1. Statement/Scope of Work and/or attached proposal

2. Budget and Budget Justification

3. Related attachments, if applicable
Subrecipient Monitoring Checklist (DRAFT)

Award # from_________________ contains a subaward to another institution/organization to perform a portion of the work. It is a federal requirement that subrecipients are monitored to provide reasonable assurance that the use of resources is in compliance with laws, regulations, and award terms and that performance goals are achieved.

This checklist will serve as a tool to help determine compliance with this requirement.

**Subrecipient:**

Grantee/Project Name:

Period of Performance:

CFDA #

ARRA Funds □ Yes □ No

Principal Investigators (PIs/Project Coordinators/Supervising Deans) have primary responsibility for:

- establishing channels of communication with subrecipients;
- ensuring performance goals are achieved;
- reviewing invoices from subrecipients for compliance with regulations and award terms and conditions as needed based on subrecipient assessment;
- reviewing performance; and,
- approving final invoices in a timely manner for closeout.

**Performance**

Has the subrecipient submitted the required reports in a timely fashion? □ Yes □ No

Document when performance reports were received from the subrecipient:

<table>
<thead>
<tr>
<th>Report Period</th>
<th>Date Filed</th>
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</thead>
<tbody>
<tr>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

Does the PI/Project Coordinator make a periodic evaluation of the subrecipient’s performance? □ Yes □ No

Is the PI/Project Coordinator satisfied with the subrecipient’s performance? □ Yes □ No If no, explain.

Has the PI/program staff conducted site visits at the subrecipient? □ Yes □ No

Please refer to the online version of this document as the most up-to-date copy.
• Financial and programmatic records were reviewed? ☐ Yes ☐ No
• Operations were observed? ☐ Yes ☐ No
• Facilities were inspected to ensure compliance with program requirement? ☐ Yes ☐ No
• Staff was interviewed to ensure they are informed of and carry out program policies and regulations?
□ Yes □ No

Is the full scope of services listed in the agreement being undertaken? ☐ Yes ☐ No  List any deviation.

Compare actual accomplishments at the point of monitoring with planned accomplishments.

Budget – compare actual expenditures versus planned expenditures. Note any discrepancies.

List other ways subrecipient was monitored.

Review program records as well as brochures, websites and any other materials disseminated to the public.

Program Income

Is income properly recorded earned and deposited as collected? ☐ Yes ☐ No ☐ Not applicable

Compliance Assurances

Does this project require any of the following assurances? ☐ Yes ☐ No  If yes, specify which one and include dates of approval below.

<table>
<thead>
<tr>
<th>Assurance</th>
<th>Dates of Approval</th>
<th>Documentation on file?</th>
</tr>
</thead>
<tbody>
<tr>
<td>IACUC</td>
<td>☐ Yes ☐ No</td>
<td>☐ NA</td>
</tr>
<tr>
<td>IRB</td>
<td>☐ Yes ☐ No</td>
<td>☐ NA</td>
</tr>
<tr>
<td>BIOHAZARDS</td>
<td>☐ Yes ☐ No</td>
<td>☐ NA</td>
</tr>
<tr>
<td>RADIATION SAFETY</td>
<td>☐ Yes ☐ No</td>
<td>☐ NA</td>
</tr>
</tbody>
</table>

Subrecipient Contacts

To assist with meeting your monitoring responsibilities, document routine contacts with the subrecipient including telephone conversations, letters, meetings, site visits, etc. Maintain such documents for audit reference, as required. Summarize your correspondence efforts here and where actual documentation can be found if needed:

Satisfaction with Subrecipient

Summarize your overall satisfaction with the subrecipient’s use of funds and performance of goals:

Please refer to the online version of this document as the most up-to-date copy.
Conflict of Interest (COI)

When a PI/Project Coordinator/Supervising Dean has an interest in or a relationship with the subrecipient entity, it shall be disclosed on the HCC Conflict of Interest Disclosure Form.

Completed By:

Name Date
12.300  TIME AND EFFORT REPORTING PROCEDURE – FEDERALLY FUNDED PROGRAMS

Overview of Federal Requirements and Reporting Standards:

The Office of Management and Budget Uniform Guidance requires the college to maintain a system of charging salaries in a reasonable allocation to each grant. In lieu of time sheet reporting, Uniform Guidance provides for both the planned confirmation and after-the-fact methods of effort certification.

This effort certification, entitled "Time and Effort Report" at Holyoke Community College, applies to all employees who work on federal or federal flow through awards. When employees work on multiple activities or cost objectives, a distribution of their salaries or wages will be supported by personnel activity reports or equivalent documentation (Time and Effort Reporting Form).

Failure to comply with effort reporting requirements can result in serious penalties for the college and/or the individual certifying their effort. These penalties may include financial audit disallowance of costs, and in some cases criminal charges may be brought against an individual certifying to a falsified Time and Effort Report.

Purpose

Holyoke Community College has established a mechanism to confirm how individuals actually expend effort during a specified time period by utilizing Compensation and After-the-Fact Activity Report.

These effort reports must be completed in a quarterly schedule and must be certified by supervisors (individuals who have first-hand knowledge of 100 percent of the employees’ compensated activities).

The distribution of salaries and wages by the college is supported by activity reports as prescribed below.

a) Activity reports will reflect the distribution of activity expended by employees covered by the system.

b) Reports will reflect an after-the-fact reporting of the percentage distribution of activity of employees.

Charges may be made initially on the basis of estimates made before the services are performed, provided that such charges are promptly adjusted if significant differences are indicated by activity records.

a) Reports will reasonably reflect the activities for which employees are compensated by the institution.

To confirm that the distribution of activity represents a reasonable estimate of the work performed by the employee during the period, the reports will be signed by the employee, principal investigator, or responsible official(s) using suitable means of verification that the work was performed.

a) The system will reflect activity applicable to each sponsored agreement and to each category needed to identify F&A costs and the functions to which they are allocable.

Scope

This policy applies to all employees who have salaries or wages paid from or committed effort to funded sponsored program.

Please refer to the online version of this document as the most up-to-date copy.
Definition of Effort and Effort Reporting

Effort is defined as the amount of time spent on a particular activity. It includes the time spent working on a sponsored project in which salary is directly charged or contributed through required match. Individual effort is expressed as a percentage of the total amount of an individual’s work time spent on grant-related activities.

Effort reporting is the mandated method of certifying to the granting agencies that the effort charged to each award has been completed in compliance with the grant.

Reporting Responsibilities

Directors, Chairs, Deans, Administrative Personnel, and Supervisory staff that hold authority over the administration and implementation of the federal grant or award is responsible for distributing, certifying and collecting time and effort reports from all employees paid through the federally funded grant or contract.

For employees paid by only one grant, the key personnel or director for the grant may sign the report to confirm time devoted to grant activities.

For employees paid by several grants, supervising deans or designee overseeing the multiple grants may sign the report.

Mandatory match should be recorded on Time and Effort reports.

Types of Time and Effort Reports

- Employees paid through a federally funded project;
- Paid stipends for work in excess of regular workload;
- Course release documentation for faculty.

Time and effort reporting procedures

- Responsible Supervisor distributes the Time and Effort Reporting Form to all employees paid through the federally funded project.
- Employee completes the appropriate sections detailing percentage of time spent on each grant or contract.
- Total percentage must add up to 100%.
- Employee who devotes time and effort to more than one federal, state, college, or other funded activity must provide a brief description of the broad categories of tasks performed.
- Employee signs the form, certifying that it is correct and accurate.
- Employee submits the form to supervisory staff.
- Supervisor signs the form, certifying that it is correct and accurately documents 100% of time and effort.
- Supervisor submits the original form to the Grants Accountant to keep in the fiscal files and places a copy of the form in the program files.

Please refer to the online version of this document as the most up-to-date copy.
Time and Effort reports are kept for three years after the termination of a federal grant or contract. Monthly forms are completed and submitted on a quarterly basis on the following schedule:

<table>
<thead>
<tr>
<th>Time and Effort Reporting Period</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>January, February, March</td>
<td>April 15</td>
</tr>
<tr>
<td>April, May, June</td>
<td>July 15</td>
</tr>
<tr>
<td>July, August, September</td>
<td>October 15</td>
</tr>
<tr>
<td>October, November, December</td>
<td>January 15</td>
</tr>
</tbody>
</table>
Appendix I

Frequently Asked Questions & Answers

1. I am a full-time faculty who has received a course reassignment to work on a grant-related activity. Do I need to fill out a *Time and Effort* form?
   
   No. Your semester workload calculation will be the record of your reassignment.

2. I am an adjunct faculty who is teaching a course normally taught by a full-time faculty member who is currently receiving a course reassignment to work on a grant-related activity. Do I need to fill out a Time and Effort form?
   
   No. Your individual contract and the completion of the full semester verify that your effort was spent on the specified activity.

3. I am a part-time, hourly employee who works on a grant. Do I need to fill out a *Time and Effort* form?
   
   No. Your payroll number is specific to a grant contract in SSTA. Therefore, your SSTA record of hours worked on each grant or college account number, serves as verification for time you have worked for individual grant. If you work on multiple grants in the same weekly time period, this should be reflected in SSTA for each week.

4. Do I need to collect a *Time and Effort* form from an employee who has been terminated or resigned from a grant activity?
   
   Yes. Ideally, supervisors should ask employees to fill out the form before his/her departure.

5. Do I need to collect a *Time and Effort* form for an employee who dedicates time toward a grant as a part of the required match in a grant proposal?
   
   Yes. Employees whose salaries are designated as required match for an award are required to fill out Time and Effort forms.

6. I am paid 100% through a federal grant. Can I serve on a college committee?
   
   Yes. Your work on college committees must be related intimately to the grant and reasonable in the amount of time spent on the committee.

   Your supervisor may assign you to work on college committees that are not related to your grant. In those cases, the supervisor agrees to have that percentage of time paid via non-grant funds. In this case, you will need to document your salary allocation on the Time and Effort form.

7. What happens with the *Time and Effort* forms once they are turned into Grants Management?
   
   Time and Effort forms are archived in the grant’s fiscal files.
12.400 ALLOWABLE COSTS
Charging Direct Costs to Sponsored Projects

Holyoke Community College allows a cost to be charged to an award when doing so complies with all applicable federal requirements set forth in the Uniform Guidance 2 CFR 200 or directed by the awarding agency through policy and program solicitation.

The PI/Grant Director and their supervising Dean/VP are responsible for understanding and following the applicable requirements for their award(s). The Grant Manager and/or Grant Accountants review costs before charging them to an award to facilitate proper charging of costs to grants. Grants Management should be contacted for specific questions concerning a charge to an award account, preferably in advance of the incurrence of a cost.

The following provisions must be met in order for a cost to be charged to a federal grant or cost share:

- The costs must be necessary, reasonable, and allocable to the grant program;
- Must comply with the limitations of the grant agreement as well as other applicable federal and state laws and regulations;
- Must be allocable to the grant on a basis consistent with policies that apply to all activities of the college;
- Must be accounted for consistently with generally accepted accounting principles;
- Must not have been used as a direct cost or cost share for any other federal award except as allowed leverage;
- Must be adequately documented;
- And must be the net of all applicable credits

Allowable

The cost must be allowable under Uniform Guidance, award terms and conditions, awarding agency guidelines and college policy.

Necessary

The cost must be ordinary and necessary to the operation of the grantee or the performance of the federal award.

Reasonable

The cost must be able to withstand public scrutiny, i.e. objective individuals (prudent person) not affiliated with the institution would agree that a cost is appropriate on an award. The cost must meet the prudent person test, which means the cost does not exceed an amount that would be incurred by a prudent person under similar circumstances at the time the decision was made.

Allocable

The cost must be directly incurred solely to advance the work or performance of the award. Costs that benefit both the award and other work at the college will be allocated proportionately to the relative benefit received by each area through use of a reasonable method. Cost overruns cannot be shifted to other federal awards to overcome funding deficiencies.

Consistency

Please refer to the online version of this document as the most up-to-date copy.
All costs must be treated the same college wide. The incurrence of the costs must be consistent with established college policies and procedures applicable to the work of the institution generally incurring, including sponsored programs and grants.

**Applicable Credits**

Applicable credits are receipts or reductions in expenditures that offset or reduce costs items such as discounts, rebates, recoveries of losses, reimbursement of expense from an individual or other entity, and adjustment of overpayments or erroneous charges. These must be credited to the award as a cost reduction to the original charge.

**Unallowable Costs:**

The Uniform Guidance addresses selected costs in Section 200.420-200.475, providing principles to determine Allowability. Several specific cost items are identified as unequivocally unallowable on a sponsored project, either as a direct or an indirect cost. The list below is not all-inclusive. Individual agency and program requirements may list other unallowable costs.

1. Advertising for general promotion of the college, including printed materials, promotional items, memorabilia, gifts, and souvenirs.
2. Alcoholic beverages
3. Alumni or fundraising activities
4. Automobile furnished for personal use
5. Antiques, fine/original art
6. Bad debt write-offs
7. Charitable Contributions
8. Commencement expenses
9. Decorative objects for offices
10. Entertainment
11. Fines and penalties
12. First-class/business-class travel differentials
13. Gifts, prizes, and award
14. Goods or services for personal use
15. Lobbying
16. Memberships in airline travel clubs
17. Memberships in civic, social, community organizations or country clubs
18. Faculty and exempt staff salary in excess of base rates paid by the institution
19. Selling or marketing products or services of the college
20. Social events

This Allowable Costs policy aligns with the College’s Administrative Policies and Procedures and adds information specific to the handling of costs charged to federal awards.

Please refer to the online version of this document as the most up-to-date copy.
12.500 BUDGET REVISIONS FOR GRANTS AND CONTRACTS

In accordance with CFR 200.308 the approved budget for the federal award is the financial expression of the sponsored project or program as approved during the federal award process. During the conduct of a project, the PI/Project Director may determine that budget changes are necessary to carry-out the project work. Many sponsors allow flexibility in how project funds are expended and permit budget changes needed to meet project requirements and implement funded activities. Principle Investigators/Grant Directors need to be aware of the specific requirements for their award and to request prior approval for budget changes when terms and conditions of the sponsor or particular award require it. **Revisions to project budgets that require prior approval must be reviewed by Grants Management before being submitted to the sponsoring agency.**

Funding agencies often allow budget revisions/amendments without prior approval while others require approval when moving funds into or out of spending categories that exceeds a specified percentage of the award amount or if the budget includes a restricted category such as Participant Support costs for NSF awards. **If prior approval from the funding agency is not required**, the PI works with the Grants Manager and/or the Grant Accountant to identify how the budget will be revised to implement the project/program activities. Rebudgeting may have an effect on the indirect costs (F&A Costs).

Before revising a budget, the PI should review the **terms and conditions of the award**, the awarding agency’s policies regarding budget revisions, and college policies to determine if a formal budget amendment needs to be completed in concert with the awarding agency. All changes will be reviewed to determine if they are allowable, allocable, reasonable/appropriate, and consistent. The Grants Manager will work with the PI/Project Director to determine if a formal prior approval budget must be submitted. Generally, the PI will consult with the supervising Dean or Vice President as part of the budget revision process. When there is a question as to whether or not the revised budget changes the scope of the grant or is in alignment with the terms and conditions the Grants Manager will recommend the PI/Grant Director contact the sponsoring agency’s Program Manager to clarify if a formal budget revision is required. In these instances an email or written correspondence from the sponsoring agency Program Manager confirming the change in activity or spending does or does not require a formal budget revision will be kept in the project fiscal files by the Grant Accountant.

All budget revisions submitted to the Grants Manager for review, formal or informal, should begin with the PI/Program Director working with the Grant Accountant to review the grant account to ensure that current expenses and encumbrances are up-to-date. The updated budget narrative/justification should include information that clearly identifies what budget items are being adjusted, why funds are not needed in the line item being reduced, and why they are needed in the line item being increased. In cases where the sponsoring agency uses an online grants management system, the Grants Management team will assist the PI/Project Director in completing the formal budget justification.

**All final budget revisions** must be approved by the Comptroller or designee before being entered into MMARS and/or Banner. Comptroller may consult with VP of Administration concerning approval when major changes are proposed in request budget or match contributions.

Please refer to the online version of this document as the most up-to-date copy.
12.600  COST TRANSFER POLICY

A Cost Transfer Policy has been established to comply with the Uniform Guidance for federal awards and governmental agencies policies and procedures.

This policy and the Cost Transfer Form (CTF) apply to cost transfers:

- Between two sponsored projects
- From a non-sponsored fund to a sponsored project
- From a sponsored project to a non-sponsored fund

Consistent and detailed review of financial records and timely communication between PI/Program Coordinators and the Grants Management Team should prevent the necessity of cost transfers, however, circumstances will occur that result in the need for cost transfers. Cost transfers should be prepared and submitted as soon as the need for the transfer is identified and within 90 days. Circumstances that arise that result in a cost transfer being processed later than 90 days require additional justification for delay.

In general, costs transfers will result from:

- Clerical error correction
- Cost benefiting more than one sponsored agreement
- Charging payroll to one cost center and later reclassifying it to a different cost center based on actual time and effort
- For federal awards, 90 day pre-project spending attributable to a newly awarded project may result in costs being charged to a college account pending final award notification and federal account being set up. For awarded state projects, costs attributable to the funded project that precede receipt of final paperwork and/or set up of unique grant account (including MMARS) may result in the need for cost transfers.

The most problematic cost transfers are:

1. Between two sponsored projects
2. Occurring more than 90 days after the original transaction
3. At the end of a project when expenses are more likely not to support the activities of the award period
4. Without adequate, detailed explanation
   Note: According to federal regulations, “an explanation which merely states the transfer was made to ‘correct and error’ or ‘transfer to correct’ is not sufficient”
5. Salary transfers that invalidate certifications.

In accordance with 2CFR 200 Uniform Administrative Requirements any cost allocable to a particular federal award under the cost principles may not be charged to other federal awards to overcome fund deficiencies, to avoid restrictions imposed by federal statutes, regulations, or terms and conditions of the federal award, or for other reasons. Consequently, salaries, wages, goods and services that do not benefit another agreement may not be transferred to that agreement. Cost transfers from sponsored awards with cost overruns to sponsored awards with fund balances are unallowable. Cost overruns must be charged to non-sponsored accounts.
Policy and Procedures for Processing Cost Transfers

Cost transfers to or from a sponsored award is processed using the CTF. The Grants Management Team (Grant Manager and Grant Accountants) under the supervision of the Comptroller is responsible for reviewing and determining the appropriateness of the cost transfers involving sponsored projects. The PI/Project Coordinator takes primary responsibility for understanding and ensuring compliance with federal regulations and terms and conditions for the award being managed. This includes monitoring expenditures, timely correction of errors, and proper allocation of expenses.

The CTF may be initiated by any signatory on the CTF; the PI/Program Coordinator (or supervising Dean), the Grants Management Team, the Comptroller, or VP of Administration and Finance (CFO). The PI/Program Coordinator works with the Grants Management Team to ensure that cost transfers are allowable, allocable and reasonable prior to completing the CTF. The Grants Manager and Grant Accountants will oversee the cost and revenue transfer paperwork that includes the CTF and preparation of the journal entry. The Comptroller, Assistant Comptroller, or CFO must sign the CTF. Recordkeeping will be done by the Grant Accountants and forms will be filed by sponsored program and journal voucher.

For consistency cost transfers will be completed for all grants regardless of funding source for consistency and transparency.

Exceptions to completing Cost Transfer Forms

1. Processing on the Massachusetts accounting system (MMARS), due to timing of account creation, may require State grant transfer of compensation (LARQs) and expenses (EXs) not being processed until the account is appropriated. The original expense or revenue is recorded to a designated suspense account until the LARQ or EX is processed to record the transaction to the correct state appropriation, no CTR is required.

2. Instances may occur when rounding differences, small changes to charge backs, or similar transactions resulting in less than a $10 discrepancy will only require a regular journal entry with full explanation signed by the Grant Accountant, Comptroller/Assistant Comptroller. No CTR is required.

In Summary: Cost transfers must be in conformance with awarding agency regulations, allowable, allocable, reasonable, and consistent. CTF’s are timely (completed within 90 days after the posting) fully documented, and contain all relevant signatures.

Please refer to the online version of this document as the most up-to-date copy.
# 12.700 COST TRANSFER JUSTIFICATION FORM

## HOLYOKE COMMUNITY COLLEGE

### COST TRANSFER JUSTIFICATION FORM

*Must be completed within 90 days of the original transaction date*

*Prepared By (Printed Name/Date):*

<table>
<thead>
<tr>
<th>Transfer From:</th>
<th>To:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective Date of cost transfer:</td>
<td></td>
</tr>
</tbody>
</table>

**Salary transfer? Y/N**

a. If Yes, for whom? Name: 

b. Amount: 

**Operating transfer? Y/N**

a. Amount: 

1. Why was this expense originally charged to the account from which it is now being transferred?  

2. Why should this charge be transferred to the proposed receiving sponsored account number?  

3. What steps will be taken to eliminate future need for cost transfers of this type? 

<table>
<thead>
<tr>
<th>Project Director (if applicable):</th>
<th>DATE:</th>
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</thead>
<tbody>
<tr>
<td>Printed Name and Title:</td>
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<table>
<thead>
<tr>
<th>Grant Manager Signature</th>
<th>DATE:</th>
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<tbody>
<tr>
<td>Grant Accountant Signature:</td>
<td>DATE:</td>
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</table>

<table>
<thead>
<tr>
<th>CFO/Comptroller/Assistant Comptroller</th>
<th>DATE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Printed Name &amp; Title:</td>
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</tbody>
</table>

**NOTE:** By signing above, requestors certify that the cost to be transferred is an allowable, allocable and reasonable expenditure for the account charged and that the expenditure complies with the terms and restrictions governing that project.

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Please refer to the [online version of this document](#) as the most up-to-date copy.
12.800 PRE-AWARD ROLES AND RESPONSIBILITIES

Roles and Responsibilities within Grant Development and Management

This document pertains to externally sponsored grants, contracts and other awards, and is principally intended to serve as guidance for HCC faculty and staff.

Basic Description of Roles:

**PI:** Principal Investigator - the individual responsible for overall technical direction and administrative management of the Research or Project.

**What is the difference between a PI, co-PI, and senior personnel on a grant?**

A **Principal Investigator (PI)** is the primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research. In some cases, a PI is also known as a **project coordinator** or **project director**. A project coordinator or director is responsible for the day-to-day management of all activities funded through the grant. At the director level, this person is responsible for the supervision of staff funded through the grant.

**Co-PIs** are key personnel who have responsibilities similar to that of a PI on research projects. While the PI has ultimate responsibility for the conduct of a research project, the Co-PI is also obligated to ensure the project is conducted in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research.

HCC faculty and staff may be involved as **senior personnel** on a project without the same responsibilities of a PI or Co-PI. These faculty are not responsible for the conduct of the project and are not a signatory to an MOU. Faculty participants may participate in the research, may collect salary, and may have a role in publications.

A grant coordinator is a faculty or staff member who is responsible for the day-to-day management of a grant project. This person may be different than

**RDO:** Resource Development Office - Pre-Award functions, ethical compliance and disclosures, non-financial regulatory compliance, non-financial post-award administration. Serves as Institutional liaison with Sponsors.

**BO:** Business Office *(includes the Comptroller, Grants Manager, and Grants Accountants)* - Post-Award financial administration and reporting, and financial regulatory compliance.

**Admin:** *(Includes the President’s Office, Vice Presidents and Senior Personnel, Authorized Signatories, Human Resources, Academic Affairs, and Deans)* Project and proposal approval by Cabinet. Deans approve release time with PI. President gives approval of Institutional Commitment and leads selection of proposals for limited competitions.

Please refer to the online version of this document as the most up-to-date copy.
### Detailed Roles and Responsibilities

<table>
<thead>
<tr>
<th>PRE-AWARD</th>
<th>PI</th>
<th>RDO</th>
<th>BO</th>
<th>Admin</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide guidance and resources for grantsmanship and proposal development, and serve as point of contact with Sponsors.</td>
<td></td>
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<tr>
<td>Contact RDO if intending to apply for external funding.</td>
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<tr>
<td>Review sponsor's program guidelines and solicitations. (Primary responsibility lies with PI.)</td>
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<tr>
<td>Discuss arrangements and timeline for submission of materials for review by RDO.</td>
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<tr>
<td>Review Sponsor's guidelines and funding opportunity, and inform PI and Admin of any potential concerns.</td>
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<tr>
<td>For limited submissions, coordinate selection process for President's Office.</td>
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<tr>
<td>Prepare the draft technical proposal, budget, and related materials.</td>
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<td>When requested, review draft grant proposals and provide editorial guidance.</td>
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<tr>
<td>Assist PIs where appropriate with obtaining available institutional data as required by sponsor.</td>
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<tr>
<td>Discuss any cost sharing, matching and Institutional contributions with Grants Manager prior to budget development. RDO can advise. PI must obtain Comptroller approval prior to budget development.</td>
<td></td>
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<tr>
<td>Obtain approval from Dean for requests for leave and course release prior to budget development; PI to initiate discussion.</td>
<td>x</td>
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<tr>
<td>PRE-AWARD (continued)</td>
<td>PI</td>
<td>RDO</td>
<td>BO</td>
<td>Admin</td>
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<td>Act as a resource for budget preparation (e.g., salary figures, fringe benefit</td>
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<td>rates, indirect cost rates, appropriate categorization of budget items.)</td>
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<tr>
<td>Review and confirm accuracy and appropriateness of proposal budget and justifying</td>
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<td>proposal and justification prior to PI obtaining necessary approvals, consulting</td>
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<td>with Business Office as needed.</td>
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<tr>
<td>Determine responsible party for proposal submission, and either submit</td>
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<td>or coordinate with PI as required.</td>
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<tr>
<td>Maintain online sponsor agency user accounts.</td>
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<tr>
<td>Provide or obtain Institutional certification letters as required by sponsor or</td>
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<tr>
<td>agency.</td>
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<tr>
<td>Provide, coordinate preparation of, or review HCC letters of Institutional Commitment</td>
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<td>for collaborative projects and subawards, as needed.</td>
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<tr>
<td>When HCC will be a subrecipient on a proposal, complete the requested</td>
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<tr>
<td>subaward proposal and related materials to be submitted by RDO to lead</td>
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<td>institution.</td>
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<td>For collaborative proposals or when HCC is receiving a subaward, act as liaison</td>
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<td>with lead or other institutions’ Grants Offices.</td>
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<tr>
<td>Complete and submit the Feasibility Form. Obtain institutional approvals.</td>
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<td>Approvals should be obtained a minimum of 2 working days prior to submission</td>
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<td>deadline.</td>
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<td>Review Feasibility Form and follow up with PI on requirements for IRB, Export</td>
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<td>Controls and other non-financial compliance areas.</td>
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<td>If applying to a federal agency, confirm that all HCC personnel required to</td>
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<td>disclose complete and sign the relevant conflict of interest disclosure and deliver</td>
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<td>to RDO prior to submission.</td>
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<tr>
<td>Review Feasibility Form, proposal, budget and other applicable materials, noting</td>
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<td>any issues.</td>
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<td>Review Feasibility Form, proposal, budget and other proposal materials. (Note to PI</td>
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<td>: Allow minimum 5 working days in advance of deadline for Administrators to review</td>
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<td>and request any revisions.)</td>
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<tr>
<td>If notification of award is received directly by PI, inform RDO and send award</td>
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<tr>
<td>notice and related communications to RDO.</td>
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<tr>
<td>Identify (RDO) and secure (PI) required regulatory approvals (i.e., use of human</td>
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<tr>
<td>subjects, animals, biosafety, and radiation safety.) This is required prior to the</td>
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<td>commencement of research.</td>
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<tr>
<td>POST-AWARD</td>
<td>PI</td>
<td>RDO</td>
<td>BO</td>
<td>Admin</td>
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<td>---------------------------------------------------------------------------</td>
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<tr>
<td>Review, negotiate and accept the terms and conditions of the award, in</td>
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<td>consultation with other offices as needed.</td>
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<tr>
<td>Provide PI with information regarding sponsor and HCC expectations for</td>
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<tr>
<td>programmatic oversight of the Project.</td>
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<tr>
<td>Provide PI with information and support regarding financial management of</td>
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<tr>
<td>the Project.</td>
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<tr>
<td>Confirm that all required approvals and ethical compliances have been</td>
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<tr>
<td>obtained and satisfied prior to setting up of grant account.</td>
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<tr>
<td>Follow up with PI as needed.</td>
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<tr>
<td>Forward grant award information, including summary of terms and conditions</td>
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<td>for distribution to PI, Business Office and other offices.</td>
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<tr>
<td>Establish and maintain externally sponsored grant and cost share accounts.</td>
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<tr>
<td>Notify PI and other offices of program creation and account number</td>
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<tr>
<td>Conduct and manage the research/program according to the scope and</td>
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<tr>
<td>objectives of the proposal and HCC requirements.</td>
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<tr>
<td>Manage personnel working on Project.</td>
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<td>x</td>
</tr>
<tr>
<td>Monitor grant budget and authorize all expenditures, except own salary,</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>in collaboration with Grants Management team.</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Prepare and submit requests for payment, according to guidelines and</td>
<td></td>
<td></td>
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<td>x</td>
</tr>
<tr>
<td>policies.</td>
<td></td>
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</tr>
<tr>
<td>Submit requests for rebudgeting to the Grants Management team, in</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>consultation with RDO as required.</td>
<td></td>
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</tr>
<tr>
<td>Confirm allowability of project expenses.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>If programmatic, technical or budgetary modification to project is</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>anticipated, contact RDO to determine whether sponsor approval is</td>
<td></td>
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<tr>
<td>required.</td>
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</tr>
<tr>
<td>Act as Institutional liaison with Sponsor on behalf HCC and PI.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Prepare and process invoices and drawdowns for receipt of funds.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Execute cost transfers/journal entries.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Conduct periodic monitoring of financial status of project accounts.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Monitor subrecipients' technical performance to ensure scope of work is</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>being followed and timetable is adhered to. Consult with RDO regarding</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>options if satisfactory progress is not being made.</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Assess and monitor subrecipients to ensure compliance with terms and</td>
<td></td>
<td></td>
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<td>x</td>
</tr>
<tr>
<td>conditions of award, including flow-down requirements.</td>
<td></td>
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</tr>
<tr>
<td>Review subrecipients' single audit documentation, advising RDO if</td>
<td></td>
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<td></td>
<td>x</td>
</tr>
<tr>
<td>deficiencies that could increase risk for issuance or continuation of</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>subaward are found.</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Please refer to the online version of this document as the most up-to-date copy.
<table>
<thead>
<tr>
<th>POST-AWARD (continued)</th>
<th>PI</th>
<th>RDO</th>
<th>BO</th>
<th>Admin</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare and submit technical and progress reports as required by Sponsor.</td>
<td></td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with PI regarding technical and fiscal reporting on subawards under HCC awards.</td>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Coordinate the preparation and submission of financial reports to Federal and State agencies, as required.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Confirm accuracy of fiscal information in financial reports submitted directly to Sponsors by RDO or PI.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Distribute and collect effort certification from HCC personnel.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Ensure that effort certification reports for all applicable grant personnel have been completed.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Track own effort (PI) and maintain documentation.</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complete and submit interim, progress, final and any additional technical reports, as required by Sponsor. RDO to review as needed.</td>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>If PI reports include financials, confirm that fiscal information to be submitted with the report is accurate. (PI to request confirmation.)</td>
<td></td>
<td></td>
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<td>x</td>
</tr>
<tr>
<td>Submit any additional or special PI reports as required by Sponsor.</td>
<td>x</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prepare and submit other special reports in consultation with PI and Business Office, as required by Sponsor.</td>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Coordinate communications concerning modifications and issues that arise requiring permission from or consultation with Sponsor.</td>
<td></td>
<td>x</td>
<td></td>
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</tr>
<tr>
<td>Initiate requests and provide oversight for re-budgeting, modifications and carry-forwards (PI is primary initiator; RDO submits, approves or provides support as required.) RDO notifies Business Office.</td>
<td></td>
<td></td>
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<td>x</td>
</tr>
<tr>
<td>Prepare and issue third party agreements under HCC awards (e.g., subawards, consulting agreements, and any modifications, amendments and increments.)</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>At project termination, inactivate award in financial accounting system; retain all post-award documentation in a manner consistent with Sponsor and HCC record retention policy.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Collaborate to ensure completion of program closeout according to Sponsor requirements. Resolve any issues, confirm that all financial, technical, invention and other required reports have been submitted to sponsor prior to closing the program account.</td>
<td></td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Retain project data, materials, and outcomes as required by sponsor.</td>
<td>x</td>
<td></td>
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</tr>
<tr>
<td>Manage Grant/Sponsored Program audit activity.</td>
<td></td>
<td></td>
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<td>x</td>
</tr>
</tbody>
</table>
13.000

EMPLOYEE INFORMATION

Please refer to the online version of this document as the most up-to-date copy.
13.100 – FRAUD, WASTE & ABUSE POLICY

Purpose

The College is committed to protecting its revenue, property, proprietary information and other assets. The College will not tolerate any misuse or misappropriation of those assets. This Fraud Prevention Policy is established to provide guidance to employees when misuse or mis-appropriation of College assets is suspected and to facilitate the development of protocols and practices which will aid in the detection and prevention of fraud.

Scope of Policy

This policy applies to any fraud perpetrated by a student, staff or faculty member or official (collectively “employees”) of the College as well as consultants, vendors, contractors, outside agencies and/or any other parties with a business relationship with the College. Any investigation commenced pursuant to this policy shall be undertaken without regard to a person’s length of service, position or title, or relationship to the College.

Actions Constituting Fraud

The term fraud includes, but is not limited to, the following:

- Any dishonest or fraudulent act;
- Forgery or alteration of any document or account belonging to the College;
- Forgery or alteration of a check, bank draft, or any other financial document;
- Unauthorized disclosure of confidential and proprietary information;
- Unauthorized disclosure of securities activities of the College;
- Misuse of College facilities or equipment (i.e. vehicles, telephones, computers, email);
- Misappropriation of funds, securities, supplies, or other assets;
- Assigning an employee to perform non-employment-related tasks;
- Accepting or seeking anything of substantial value from contractors, vendors or persons providing services/materials to the College;
- Authorizing or receiving payment for goods not received or services not performed;
- Impropriety in the handling or reporting of money or financial transactions;
- Intentional violation of college purchasing requirements;
- Profiteering as a result of insider knowledge of College activities;
- Theft, destruction, removal or inappropriate use of College records, furniture, fixtures, intellectual property and equipment; and/or
- Actions related to concealing, assisting, or perpetuating above-mentioned activities.

If there is any question as to whether an act constitutes fraud, please contact the Vice President of the affected work area or the Vice President of Administration and Finance.
Employee Responsibility

All employees of the College, regardless of rank or position, have a stewardship responsibility with regard to College funds and other assets. College employees are responsible for safeguarding college resources and ensuring that those resources are used only for authorized purposes in accordance with College rules, policies, and applicable federal and state laws.

- When fraud is suspected, observed, or otherwise made known to an employee, the employee must immediately report the activity to her/his supervisor.

- If the employee has reason to believe her/his supervisor may be involved in fraudulent activity, the employee is obligated to report the activity to the next higher level of management or to another college official such as the Vice President of Administration and Finance.

- The reporting employee shall refrain from discussing the matter with any other person unless directed to do so by the Vice President of Administration and Finance.

- All employees shall cooperate fully with any investigation performed by the College, oversight agencies and/or law enforcement officials.

Managerial Responsibility

All management personnel are responsible for detecting and preventing fraudulent activities in their respective work areas. All management personnel will be familiar with the types of activities that constitute fraud and be alert for any indication that improper or dishonest activity is or was in existence in her/his work area.

- If a member of management suspects fraud or has received a report of fraud from an employee, she/he must contact her/his supervisor immediately.

- When a supervisor is informed by management personnel that fraud is suspected, the supervisor must immediately contact the Vice President of Administration and Finance.

- Upon investigation, if the College determines that fraud exists, the College shall take immediate remedial action to halt the fraudulent activity. If criminal activity has occurred, the College shall report the activity to appropriate oversight agencies and/or law enforcement officials.

- All management personnel shall cooperate fully with any investigation performed by the College, oversight agencies and/or law enforcement officials.

- Following all incidents of fraud, or at least on an annual basis, management personnel shall conduct a review of all internal controls, policies and procedures for the prevention and detection of fraud and implement new and/or modified controls when necessary.
Confidentiality

All participants in a fraud investigation shall treat all information received confidentially. A person reporting suspected fraud may remain anonymous.

Investigation results will not be disclosed or discussed with anyone other than those who have a legitimate need to know. Any employee contacted by the media with respect to a fraud investigation shall refer the media person to the Vice President for Institutional Advancement.

Investigation and Discipline

Employees who have committed fraud will be subject to disciplinary action up to and including dismissal. Any disciplinary action taken by the College as a result of its investigation shall be in accordance with the terms and conditions of applicable collective bargaining agreements and non-unit personnel policies. In all cases, the College reserves the right to refer the matter to appropriate oversight agencies and/or law enforcement officials for independent review, investigation and/or prosecution. The College’s internal investigation and disciplinary process shall be conducted independently from any external review performed.

Administration of this Policy

The Office of Human Resources/Affirmative Action is responsible for the administration, revision, interpretation, and application of this policy. The policy will be reviewed annually and revised as needed.

Compliance with State and Federal Laws

In addition to this policy, the College shall comply with all applicable state and federal laws addressing fraud prevention, including, but not limited to:

- **Chapter 647 of the Acts of 1989 (MA Law):** Report on Unaccounted for Variances, Losses, Shortages, Thefts of Funds or Property
- **MGL Chapter 93H:** Unauthorized Release of Personal Information
- **MGL Chapter 268A:** Commonwealth of Massachusetts Ethics Laws
- **MGL Chapter 149, Section 185 (Whistleblower Statute):** Protects employees from adverse employment actions and retaliation for reporting violations of law.
- **Gramm-Leach-Bliley Act (Financial Services Modernization Act of 1999):** Requires financial institutions and others to ensure the security and confidentiality of personal financial information from their customers.
• **Accurate Credit Transactions Act of 2003 (“Red Flags Rules”):** Requires financial institutions and others to implement programs to detect, prevent, and mitigate instances of identity theft.

• **Family Educational Rights and Privacy Act (“FERPA”):** Generally protects against the unauthorized disclosure of student record information, including social security numbers and grade information.

• **Health Insurance Portability and Accountability Act (“HIPAA”):** Generally protects against the unauthorized disclosure of medical records and information.

**Commonwealth Hotline Numbers**

Additional Commonwealth resources available for reporting fraud include:

- **Massachusetts Inspector General, (800) 322-1323** - To report suspected fraud, waste or abuse in government.

- **Massachusetts Attorney General – Fair Labor Helpline, (617) 727-3465** - To report violations of minimum wage and overtime laws and requirement for timely payment of wages.

- **Division of Unemployment Assistance, (800) 354-9927** - To report unreported wages or persons collecting benefits while working.

- **Office of the State Auditor, (617) 727-6200** - For state agencies to report variances, shortages or thefts of funds or property.
13.200 CONFLICT OF INTEREST LAW AND FINANCIAL DISCLOSURE LAW

Every employee of Holyoke Community College, regardless of the source of their salary funding (state, trust or grant) or whether they are full or part-time, is covered by the Conflict of Interest Law. This law, Chapter 268A of the General Laws, sets a minimum standard for ethical conduct and restricts what an employee may do on the job, after hours, and after leaving public service.

Certain employees of the College are covered by the Financial Disclosure Law (Chapter 268B). They must annually file financial disclosure forms. Any employee covered by this statute will be so notified by the President’s Office.
Holyoke Community College’s policies encourage the use of college facilities for educational and civic purposes. Political discourse and events related to national, state and local elections enhance HCC’s educational and community service mission. At the same time, it is important to stress that as a public college, all campus facilities are property of the Commonwealth of Massachusetts, resulting in certain requirements. The facilities use policies that exist to ensure that activities can occur successfully alongside ongoing campus operations, and include the following guidelines:

- HCC encourages the broadest possible access on a fair, uniform and impartial basis by college-sponsored groups and responsible outside organizations.
- By state law, facility use must be without cost to the Commonwealth. The college must recover costs incurred for all expenses beyond those ordinarily required for operation of the campus.
- Requests for facility use must be submitted at least two weeks prior to anticipated use. If an organization has a tax identification number, it should be provided at the time of application.
- Activities must be scheduled in a manner that avoids interference with classes, related college activities and the needs of students, faculty and staff. Participants must comply with campus safety and security policies.
- Bullhorns or other unauthorized amplification equipment are prohibited.
- Non-college users must indemnify and hold ha
13.400: COLLEGE CLOSINGS (SNOW EMERGENCY/ADVERSE WEATHER)

BACKGROUND

Under the terms of the MCCC/MTA contract, the terms of the AFSCME contract and the management package, faculty and staff need not report to work if classes are canceled, and they are not charged for the day. Only those staff and employees who have been designated as emergency personnel are required to report to work. In the event that adverse weather affects only limited areas, the individuals who cannot safely travel to work should contact their department. Such an absence is not covered under any contractual agreements and the individual must use a personal or vacation day.

PROCEDURE

The decision of whether classes will be formally canceled rests with the President or his/her designee. Announcements are made via local radio stations starting at 6:00 a.m. or as soon as is practicable thereafter, as well as on the local television stations, Channels 22, 40 and 3 (see list below). For the Evening Division, the announcements are made by 4:30 p.m. or as soon thereafter as is practicable. Unless the announcement states that Holyoke Community College specifically is closed, not "Holyoke schools", the college will be open. Individuals who are unable to travel should contact their supervisor or the appropriate office immediately.

The following television and radio stations carry closing/delay notices for HCC:

<table>
<thead>
<tr>
<th>Television Stations</th>
<th>Radio Stations</th>
</tr>
</thead>
<tbody>
<tr>
<td>WACE</td>
<td>WHMP/99.3</td>
</tr>
<tr>
<td>WHYN AM/FM</td>
<td>WRSI</td>
</tr>
<tr>
<td>WKIX 97.9</td>
<td>WAQY</td>
</tr>
<tr>
<td>WGGB TV (ABC)</td>
<td>WWLP TV (NBC)</td>
</tr>
<tr>
<td>WRNX</td>
<td>WSHM TV3</td>
</tr>
</tbody>
</table>

Please refer to the online version of this document as the most up-to-date copy.
13.500 CHILDREN ON CAMPUS

BACKGROUND

While the college does not discourage the presence of children if they are under visual and physical control of a parent or guardian, frequent litigation against colleges for unforeseen accidents to children prompted the development of a campus-wide policy for college protection.

- No child shall be on campus unattended by the parent or guardian.
- The college and its employees can assume no responsibility for the care and supervision of visiting children.
- Children may accompany the parent or guardian on campus, but are not to attend classes or other learning environments (for example, seminars, laboratories, clinics, field trips, learning centers or work stations).
- Children of work-study students shall not be brought to the job.
- Children who are sick should stay home under appropriate care.
- Children who are on school vacation shall not be present on campus unaccompanied by parent or guardian.

PROCEDURE

Children are not allowed in classes or labs or on work-study assignments with their parent, sitter or sibling.
13.600: BULLETIN BOARDS POLICY

General
1. General college-related information may be posted on all bulletin boards except for those boards designated for department or union purposes. Requests for bids and proposals are posted on a board on the third floor of Frost building and are coordinated by the Business Services Department. Union bulletin boards are located on the second and third floors of Frost, the second floor of Donohue, the first floor of C, and the second and third floors of Marieb building. Department bulletin boards are designated by the department name placed at the top of the board. No materials are to be posted on walls, doors, or windows.

2. Use only thumb tacks on bulletin boards. Do not use staples, glue or stickers or any other adhesive.

3. Materials will be removed periodically.

College Postings
1. All materials which members of the college community wish to post must be clearly identified by the name of the originating office or group. Postings should be removed after an event has occurred.

2. Unidentified postings will be removed.

Community Postings
1. Individuals or organizations not having a relationship to the college may post only on bulletin boards designated as Community Boards. At Holyoke Community College these boards are located in the following locations:

<table>
<thead>
<tr>
<th>Building</th>
<th>Floor</th>
<th>Board</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frost Building</td>
<td>2nd floor</td>
<td>across from New Careers Office</td>
</tr>
<tr>
<td>FPA Building</td>
<td>2nd floor</td>
<td>past Theater entrance on left</td>
</tr>
<tr>
<td>Marieb Building</td>
<td>3rd floor</td>
<td>under clock on south end of building</td>
</tr>
<tr>
<td>Bartley Center</td>
<td>1st floor</td>
<td>across from the Check-In and Control Room</td>
</tr>
</tbody>
</table>

2. Student job postings must be advertised through the Career Services Office, FR270. The office will identify the prospective employer to the potential student applicant. On-campus student work-study jobs are posted outside the Financial Aid Office, FR201.

3. College job opportunities are posted on the Human Resources board, departmental bulletin boards, and certain other bulletin boards on campus. These job postings may only be removed after the closing date noted on the posting. Further information on the positions may be obtained from the Human Resources Office.

FOR FURTHER INFORMATION, PLEASE CONTACT
THE STUDENT AFFAIRS OFFICE IN FR264.

REVISED 6/05

Please refer to the online version of this document as the most up-to-date copy.
13.700 STAFF DISCOUNTS

Because Holyoke Community College is a member of several purchasing cooperatives (Massachusetts Higher Education Consortium, Educational & Institutional Cooperative) all employees are eligible for a number of discounts on purchases and services. These discounts are available for official or personal business. In some instances, e.g. computer purchases, you will need to show HCC staff identification.

For further information on discounts, contact Administrative Purchasing.
13.800 FREQUENT FLYER MILES, PRIZES, ETC.

Some employees may belong to frequent flyer clubs through airlines and accrue miles on both business and personal travel. It is the official policy of Holyoke Community College that any frequent flyer miles earned while on College approved travel shall accrue directly to the individual, not to the College.

Occasionally, raffles or drawings are held for prizes at association meetings, Chamber of Commerce breakfasts, or other events at which a College employee is present on official business. If an employee attending a meeting at College expense wins a prize, it is the official policy of the College that the prize shall become the property of the individual.

Please refer to the online version of this document as the most up-to-date copy.
14.100 GLOSSARY OF TERMS

Bidding - Competitive: is the process used by the College to procure needed supplies, equipment, or services at the lowest cost for the quality and service necessary, through public invitation to vendors to submit a bid.

Delivery Date: is the specific date by which the order is required (Not RUSH or IMMEDIATE, etc.).

Equipment: is equipment that costs $100 or more, has an estimated useful life of at least two years, and whose physical characteristics are not materially affected by use.

Educational and Institutional Cooperative (E & I): is a not-for-profit buying cooperative established by members of the National Association of Educational Procurement (NAEP) to provide goods and services to members at the best possible value. The Cooperative is owned by its membership of more than 1500 tax-exempt colleges, universities, prep schools, hospitals, medical research institutions and hospital purchasing organizations located throughout the United States. When items are purchased via E & I, sealed bids are not required because the cooperative has already bid the items and awarded a contract to a vendor.

Massachusetts Higher Education Consortium (MHEC): is a group of institutions of higher education to which HCC belongs and which bids for items used in colleges and universities. When items are purchased via MHEC, sealed bids are not required because the MHEC has already bid the items and awarded a contract to a vendor.

Purchase Order: is the College's official contract with the vendor to furnish the supplies or services described on the form. Once properly executed and approved, the purchase order becomes a binding agreement on the part of both the College and the vendor.

Purchasing: is the technique of securing the proper supplies, equipment, or service at the time needed for the lowest cost and from a reliable source.

Requisition: is the written request form to notify the Business Office that a particular item or service is required.

Specifications: refers to the written, detailed description of the item to be purchased and gives the necessary information indicating clearly to a potential vendor the specific items planned to be purchased.

State Contract: is the method which allows the College to purchase hundreds of items at the same price available to state departments. When items are purchased via state contract, sealed bids are not required because the state has already gone through this process and awarded a state contract to a particular vendor.

Vendor: is the supplier of particular goods, equipment, or services to the College.
<table>
<thead>
<tr>
<th>Category</th>
<th>Contact Name</th>
<th>Contact Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting</td>
<td>Curt Foster (Interim Asst. Comptroller)</td>
<td>2203</td>
</tr>
<tr>
<td></td>
<td>Maria Brunelle</td>
<td>2431</td>
</tr>
<tr>
<td></td>
<td>Beth Leary</td>
<td>2210</td>
</tr>
<tr>
<td></td>
<td>Aleksandra Sudol</td>
<td>2165</td>
</tr>
<tr>
<td>Accounts Payable</td>
<td>Judi McGeer – A-K Vendors</td>
<td>2497</td>
</tr>
<tr>
<td></td>
<td>Sam Higgins – L-Z Vendors</td>
<td>2089</td>
</tr>
<tr>
<td>Banner Access Requests</td>
<td>Judy Gregoire (as of 8/12/19)</td>
<td>2206</td>
</tr>
<tr>
<td>Bids and Administrative Purchasing</td>
<td>Maria Brunelle</td>
<td>2431</td>
</tr>
<tr>
<td></td>
<td>Brian Jackson</td>
<td>2384</td>
</tr>
<tr>
<td>Budgets, Equipment Purchases</td>
<td>Curt Foster</td>
<td>2203</td>
</tr>
<tr>
<td>Cash Receipts</td>
<td>Jeff Santos</td>
<td>2207</td>
</tr>
<tr>
<td>Comptroller</td>
<td>Curt Foster</td>
<td>2431</td>
</tr>
<tr>
<td>Grants</td>
<td>Maria Brunelle</td>
<td>2431</td>
</tr>
<tr>
<td></td>
<td>Debbie Bird</td>
<td>2208</td>
</tr>
<tr>
<td></td>
<td>Olesya Cherkashin</td>
<td>2290</td>
</tr>
<tr>
<td>Payroll</td>
<td>Shannon Shatos Swift</td>
<td>2209</td>
</tr>
<tr>
<td></td>
<td>Erin O’Neill</td>
<td>2409</td>
</tr>
<tr>
<td>Purchase Order, Encumbrances &amp; Travel</td>
<td>Brian Jackson</td>
<td>2384</td>
</tr>
<tr>
<td>Storekeeper, central supply</td>
<td>Paul Manijak</td>
<td>2392</td>
</tr>
<tr>
<td>Vendor Codes</td>
<td>Beth Leary</td>
<td>2210</td>
</tr>
</tbody>
</table>
APPENDIX A

Commonwealth of Massachusetts – Office of the Comptroller
Expenditure Classification Handbook

ExpenditureClassificationHandbook

Please refer to the online version of this document as the most up-to-date copy.