



# Senate & Non-Senate Faculty Financial Guide

## Division of Humanities

### Our Mission Statement

The mission of the Humanities Financial Services Team is to provide efficient, accurate and timely financial assistance and superior customer service to our faculty, staff, students and the greater UCSC community.

### Your Financial Team

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**Mail Stop:** Humanities Dean's Office

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The purpose of this guide is to provide the essentials to administer instructional and research funding. This guide does not detail every process but provides the basic tools, resources and information necessary to disburse funds derived from the UC system and outside funding resources. For detailed assistance, please contact the appropriate team member.

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## Step One

Schedule an appointment with Financial Services Coordinator (FSC), Julie Krueger at [jmk@ucsc.edu](mailto:jmk@ucsc.edu) to receive Financial Services onboarding training. We'll go over your moving expense reimbursement, your startup accounts and discuss grant funding proposals and more!

### Bring to Your Appointment

Print, sign and bring to your appointment the following documents:

- a) A [Payee Setup 204 form](#) to update visitor status to employee status and current address.
- b) A [Vendor Electronic Funds Authorization Form](#).
- c) If you relocated to UCSC, finalize your [moving & relocation reimbursement](#). Bring all original itemized receipts to your appointment. Reimbursements must be processed by October 15 of each year.

### What to Expect

You will be provided with information on how to access your funds. We'll discuss obtaining a UCSC Purchasing Card ([Pro-Card](#)); using [CruzBuy](#), the campus procurement system; obtaining access to [Connexus](#)—The University of California Travel Program.

## for All Senate and Non-Senate Faculty (NSF)

Before embarking on a new project or committing your funds, please check in with the appropriate financial person for guidance on financial policies and processes.

### Whom to Contact

Financial Services Coordinator (FSC), Julie Krueger, at [jmk@ucsc.edu](mailto:jmk@ucsc.edu) For startup and research funds, COR accounts, committee service funds and professional development funds and/or Cameron J. de León, Financial Analyst [cajdeleo@ucsc.edu](mailto:cajdeleo@ucsc.edu)

Research Accountant (RA), Alison Hansen at [alhansen@ucsc.edu](mailto:alhansen@ucsc.edu)  
For contract and grant funds from outside funding agencies (federal, state, private, local, or other UCs).

### Authorization for Purchases

You authorize all purchases in your accounts. In addition, your FSC or RA will countersign to ensure availability of funds and compliance with UC policies.

### InfoView Reports

This budget report provides you with your account balances in addition to obligations that have been committed e.g. for contractors.

### What is a FOAPAL?

A foapal is an accounting string that tells us where the money came from and how it's categorized. This acronym stands for fund, org, account, program, activity, and location. You will find these numbers on your InfoView report. To use your funds you will supply the FUND, the ORG and the ACTIVITY account numbers on payment documents. The FUND tells us where the money came from, it's always 5 digits, e.g. 19900 state funds. The ORG tells us the category and department association, it's always 6 digits, e.g. 402625. The ACTIVITY code references your department and initials e.g. LTKB.

### Your Fiduciary Responsibility

Your primary fiduciary responsibility is to authorize by written or email approval all expenditures to your accounts. All expenditures must meet the relevant campus spending policies. In addition, it is your fiduciary responsibility to monitor your accounts on a regular basis and to report any errors or discrepancies to the FSC or RA. When hiring students or engaging the services of outside contractors, only UC can enter into these agreements on your behalf either through our payroll or procurement system.

## Using Your Funds

### **Payment, Purchasing, and Reimbursement Guides:**

The following guides describe how to process specific payment types:

[https://financial.ucsc.edu/Pages/Payments\\_and\\_Reimbursements\\_Process.aspx](https://financial.ucsc.edu/Pages/Payments_and_Reimbursements_Process.aspx)

[https://financial.ucsc.edu/Pages/Guide\\_Directory.aspx](https://financial.ucsc.edu/Pages/Guide_Directory.aspx)

[https://financial.ucsc.edu/Pages/PS\\_Methods\\_For\\_Purchase.aspx](https://financial.ucsc.edu/Pages/PS_Methods_For_Purchase.aspx)

### **Commonly Used Forms:**

All forms are completed online, signed, and submitted along with original itemized receipts with proof of payment to the appropriate financial team member. The team member will provide a secondary signature on all documents and submit them to Accounting for payment. <https://financial.ucsc.edu/Pages/Forms.aspx>

### **Direct Payment Form**

Use this form for reimbursement on out-of-pocket expenses:

[https://financial.ucsc.edu/Pages/WF\\_Direct\\_Payment.aspx](https://financial.ucsc.edu/Pages/WF_Direct_Payment.aspx)

### **Subject Payments**

[https://financial.ucsc.edu/Pages/Payments\\_Appendix\\_Subject\\_Payments.aspx](https://financial.ucsc.edu/Pages/Payments_Appendix_Subject_Payments.aspx) This is an advance payment to an individual, usually a principle investigator (PI) or student who is working on a research project with human subjects. To use contract or grant funds, there must be a specific budget line item allocating funds for this purpose. This requires a [UCSC Institutional Review Board](#) (IRB) approval on file. Please forward a copy of the IRB approval to the FSC or RA.

### **Travel Reimbursement and Advance Payments**

This guide will answer many of your travel questions:

[https://financial.ucsc.edu/Pages/travel\\_guide.aspx](https://financial.ucsc.edu/Pages/travel_guide.aspx)

Use [Connexus](#), the University Travel Program, or use a standard carrier/booking service, for booking your travel. All travel expenses must meet campus or granting agency policies. Please note that a granting agency travel policy may be more restrictive than UC policies. View [Allowable](#) and [Unallowable](#) travel expenses.

[Travel Advance Request Form](#) (TAR) and [Instructions](#). This form is completed and approved prior to the commencement of travel. Trip numbers will be assigned by the UCSC Accounting Department. This form is required when you request a cash advance; when you request payment on behalf of a traveler; or when you request early reimbursement to the traveler for out-of-pocket payments prior to the trip.

[Post Travel Form](#), this form is used to reconcile final travel expenses including any prior payments provided via the TAR. Include all required original itemized receipts. For conference or meeting attendance please include the agenda.

## Hiring Students

**Hiring Undergraduate Students:** An undergraduate student can assist you with administrative work, data entry or technical needs. Please contact our campus Staff Human Resources Office to begin your hiring process. Your contact is [Stephanie Sullivan](#). You will be asked to create a brief job description and post your job on [Handshake](#). Your FUND, ORG and ACTIVITY numbers are required along with an email budget approval from the FSC or RA.

**Hiring Graduate Student Researchers:** Please contact the Humanities Academic Human Resources Office. Your contact is [humahr-group@ucsc.edu](mailto:humahr-group@ucsc.edu) and you will be asked to complete a [GSR Request form](#). Your FUND, ORG and ACTIVITY numbers are required along with an email budget approval from the FSC or RA.

## Hiring and Paying an Independent Contractor

There are three steps to hiring and paying an independent contractor:

- 1) Commit UCSC funds by creating a CruzBuy requisition that describes the scope of services;
- 2) Procurement sends a purchase order to the contractor;
- 3) Services are performed and the contractor submits an invoice which is sent to FAST for payment processing.

### *Notes*

- a) There is only one way to pay an independent contractor and that is through a purchase order process. You may not pay an independent contractor with a direct payment to the vendor or use your Pro-card or pay out of your own pocket.
- b) Service cannot begin until a purchase order has been issued to the vendor via our CruzBuy System. Otherwise you may assume liability.

## Applying for Grants and Contracts

### Submitting Grant Proposals

[Read the Humanities Grant Proposal Process](#) which outlines the steps for applying for a grant in the Humanities Division.

[The Office of Sponsored Projects \(OSP\)](#) is UCSC's institutional office responsible for reviewing and endorsing proposals for research. This office coordinates with the division on all proposals.

[Review the Principle Investigator \(PI\) Handbook](#) which is a guide to extramural funding processes and oversight.

### When a Grant Is Awarded — Next Steps

Congratulations on your award! Next steps? Your [RA](#) will set-up an initial introductory meeting to review your grant budget, UC policy, processes and reporting guidelines. Your RA will assist and guide you throughout the life of your contract or grant. Do not begin spending your funds until you have met with your RA!

## More Funding Opportunities

### for Senate Faculty

Academic Senate [Committee on Research \(COR\)](#)

Apply for funding for yearly scholarly meeting travel, intercampus travel, faculty research grants and more.

### for Non-Senate Faculty (NSF)

[NSF Council on Professional Development](#)

Apply for funding for special projects, materials, conferences, workshops and more.

### The Humanities Institute (THI)

The Humanities Institute serves as a laboratory for theorizing and implementing new visions of the Humanities via faculty research projects, graduate and undergraduate fellowships and training, and public humanities programs. THI provides crucial support to faculty and students at every stage of the research process. Visit the THI at <https://thi.ucsc.edu/>

### Office of Research — UCSC

The UCSC [Office of Research](#) maintains a list of opportunities.

Visit Us Online for More Information

**Humanities Financial Services**

<http://humanities.ucsc.edu/about/divisional-services/financial-services/index.html>



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