

COVID Financial Emergency Response

Implementing and Refining University Hiring and Spending Controls

January 8th, 2021

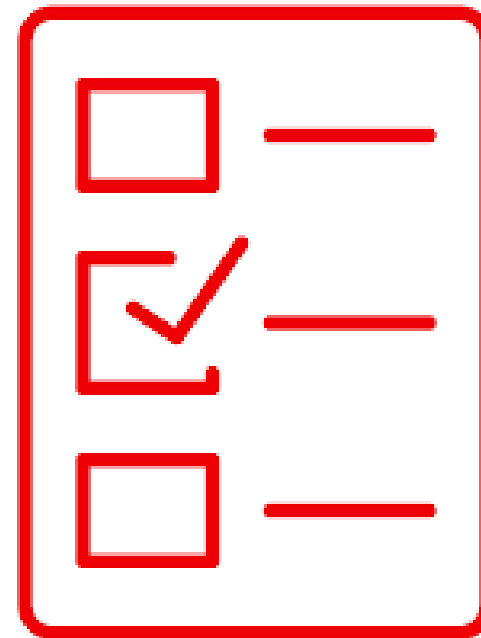
Melissa Hogarty, Business Director, Administration & Finance

Stony Brook University

**FAR
BEYOND**

Agenda

- Project Background
- Intentional Actions
 - Goals
 - Structure
 - Creating Teams
 - Communication – Orientation & Training
 - Monitoring
- Feedback & Conflict
- Assessment
- Academy Outcomes & Reflection
- Final Thoughts



Project Background

- Catalyst: The effect that COVID had on revenue and an already compromised financial situation
- Reaction: Control, or at the very least slow down spending, through a hiring and purchasing hold



Intentional Actions

- Understand issues and goals
- Define structure
- Communicate policy and process
- Monitor and assess progress
- Gather functional feedback & resolve conflict
- *Phase 2 – adjust as necessary*

Goals

- **Goal of the University:** Sustain the mission of the university, while being as fiscally responsible as possible
- **Goal of the process:** Create and communicate a comprehensive process to vet and present the most critical financial needs to University leadership

Structure: Policy and Exceptions to Policy

- Define parameters
- Identify exemptions
- Set up an exception process
 - Position Compensation Request (PCR) Forms
 - Senior Executive Team (SET)

Meet the Teams

Sr. Executive Team (SET):

- President
- Sr. Vice President, A&F
- Chief Deputy to the President

Steering Committee:

- Melissa Hogarty, Chair
- Associate VP for Academic Budget & Finance
- Associate VP for HSC F&A and Vice Dean for SOM F&A

“Front Line” Stakeholders:

- Assistant to Chairs
- VP Coordinators
- Department Administrators
- HR Department
- Procurement Department

Phase 2

Technical Team:

- Director of Resource Management for Provost
- Sr. Budget Analyst, Provost
- Sr. Analyst & Assessment Specialist, Provost

Communication – Orientation and Training

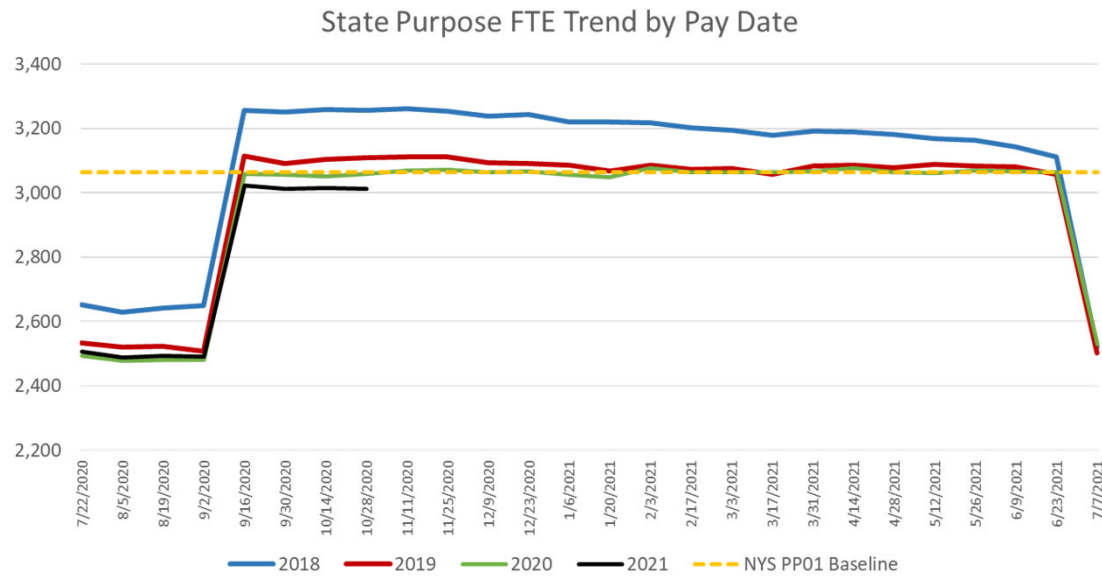
- In person meeting
- Follow up emails
- Website updates – Guidelines, FAQ's, Flow Charts



The screenshot shows a website interface with a dark red navigation bar at the top containing a home icon and three menu items: "LEARNING SERIES", "ADMIN & FINANCE", and "FACILITIES & SERVICES". Below the navigation bar is a light gray content area with the heading "Hiring Hold & Expenditure Update". Under this heading are eight red-bordered buttons with white text and right-pointing chevrons. The buttons are: "CLICK HERE TO READ THE HIRING HOLD MESSAGE >", "CLICK HERE FOR THE 2020-2021 HIRING PROCESS FLOW" (with a document icon), "CLICK HERE FOR THE 2020-2021 PCR FORM >", "CLICK HERE TO VIEW HIRING HOLD FAQs >", "CLICK HERE FOR THE EXPENDITURE EXEMPTION GUIDELINES >", "CLICK HERE FOR THE EXPENDITURE EXEMPTION PROCESS FLOW" (with a document icon), "CLICK HERE FOR THE 2020-2021 EXPENDITURE EXEMPTION FORM" (with a document icon), and "CLICK HERE TO VIEW EXPENDITURE EXEMPTION FAQs >".

Monitoring

- Monthly assessment of fund balances and FTE levels



Feedback & Conflict

- PCR Forms were **LOATHED!!** and causing conflict between departments and VP Offices
- Phase 2
 - ✓ Implementation of a Technical Team
 - ✓ Creation of the Google Form

Stony Brook University **Position/Compensation Request Form**

1. **Request Type:**
 Check one:
 Create New Position Increased Duties
 Replacement Position FTE Increase
 Promotion Temp Agency*
 Reclassification Independent Contractor
 Extra Service GA/TA
 *Indicates Non-Employee Other

2. **Compensation Information:**
 Funding Source: State/IFR IDC (RF)
 Account #: _____
 Est. Salary Range: _____
 Fringe Benefit Cost: _____
 Location Pay: Yes No
 Start-Up Package: Yes No
 Est. Start Up Value: _____
 Number of Positions Requested: _____

3. **Budget Information** (To be completed by Department/Division Budget Representative):
 Budgeted Yes No Funding: PSR TS OTPS Budgeted Amount: _____
 Reference # (CBM, Commitment, etc.): _____
 Explain the budgetary impact of this expense.

 Dept/Div Budget Signature: _____
 Provide detail supporting the critical function of this position.

4. **Position Information:**
 VP Area: _____ Department: _____
 Employer: State SF Non-Employee* Status: Full Time Part Time FTE: _____
 Position Type: Faculty Staff Non-Employee* GA/TA RPA (if IDC funds)
 Official Title: _____ Business Title: _____
 Line #: _____ Current/Previous incumbent: _____
 Anticipated Duration: _____ How long has this position been vacant? _____
 Supervisor Name: _____

5. **Signatures:**
 Position Supervisor: _____ Date: _____
 Department/Unit Head: _____ Date: _____
 AVP/Dean: _____ Date: _____
 VP/SVP/Provost: _____ Date: _____

Position_Compensation Request Form_v11 8/5/2019

Assessment

On December 8th, the President announced during a Campus Conversations event, that while we budgeted for up to \$28M in savings through this effort, we're trending even better.

What message does this send to the individual contributors, the teams, and the campus community? *WWPS?*

Hard work pays off!

It's not all in vain!

We can get through this!

We're making good choices!

That's my story and I'm sticking to it!

Academy Outcomes

Applying CBO Curriculum

Kathleen McLean, “Leading Diverse Teams”

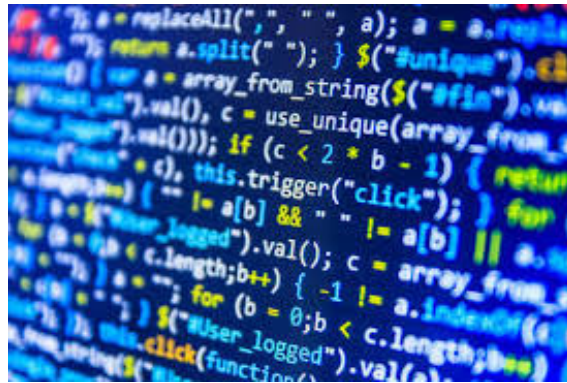
- Exemption to process for diversity initiative funds

Kirk Young, “Strengths Based Leadership”

- Focus on your strengths, not your weaknesses



























Academy Outcomes Reflection

Find the talent, and tap into it sooner!



Shared with me > Admin Campus PCR ▾

Name ↑

-  Admin Campus 
-  Form 0017979-S 
-  Form 0017979-S.pdf 
-  Form 0027881-S 
-  Form 0027881-S.pdf 
-  Form 0035924-F 
-  Form 0035924-F.pdf 
-  Form 0036308-F 
-  Form 0036308-F.pdf 
-  Form 0037340-S 
-  Form 0037340-S.pdf 
-  Form 0043721-S 
-  Form 0043721-S.pdf 

Final Thoughts and Considerations

Personal benefits

- Exposure to individuals throughout the University
- Better understanding of what areas do and why it's so important
- Understand the importance of targeted funding
- Appreciation for the University being more than the sum of it's parts

