MASSACHUSETTS
INSTITUTE OF
TECHNOLOGY

MIT | PROFESSIONAL EDUCATION

MIT PROFESSIONAL EDUCATION

SP

GUIDE TO SERVICES

Version date: Spring 2018

For more than 65 years, MIT Professional Education – SP (SP) has offered short summer certificate programs to professional audiences. These programs are an important bridge between MIT and industry, providing faculty with new connections into professional communities.

Courses are generally offered between early June and early August. They are conducted over one to five days, starting on Mondays. Successful courses generally focus on achieving an in-depth understanding of a topic with direct applicability to industry, while also providing an overview of the latest advances in a given field. They are frequently team-taught, with one MIT faculty member acting as program director or lead, and are generally topics that resonate with the current market conditions.

Courses offered by SP are collaborations between SP staff and faculty. We've created this handbook to provide an idea of what is involved in running these courses and make sure that our partnership with you is a successful one.

SP is part of the MIT Professional Education office, part of the School of Engineering. Our offices are located on the 4th floor (Suite 416) of Building NE48, 700 Technology Square.

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CONTACTING SP

Please address all administrative email correspondence to _shortprograms@mit.edu_ rather than individual staff. The full Administrative team manages this inbox and can respond quickly. You can also call us at 617-253-2101.

COURSE ADMINISTRATION

**Please note, faculty and their assistants are responsible for items in <u>GREEN</u> throughout the entire handbook. All dates refer to our traditional summer courses. For deadlines related to off-cycle courses, please contact shortprograms@mit.edu.

Faculty and their assistants plan/manage activities that are specific to their course(s). For example:

- Prepare, purchase, reproduce, and distribute course materials.Arrange for coffee and snacks for morning and afternoon breaks. (Note to new faculty: We do provide breakfast to participants on the first Monday of your course.)
- Provide a course lunch, reception, or dinner to facilitate networking.
- Plan/reserve audio visual equipment as needed, depending on classroom.
- Prepare name tags for course staff and/or name tents for participants (SP provides name tags for participants).
- Retain all receipts for course expenses for five years, as mandated by MIT.
- Post all course expenses as soon as possible in SAP.
- We provide an electronic roster to faculty a few days before the class.
- We provide electronic course rosters to participants, delivering them by email on the first day of class. Faculty are also welcome to print out copies for their participants.
- Verify that all course instructors from MIT have supplemental compensation privileges (Appendix I). For any instructor who does not, permission must be obtained from said instructor's supervisor, department, and Dean prior to teaching in order to receive payment for teaching. In addition, these individuals must make sure to take unpaid leave that is twice the length of the time they are being paid to teach. Paid vacation time is NOT unpaid leave. Please email Short Programs (shortprograms@mit.edu) with any questions regarding this policy.
- Submit a course lecture schedule that includes topic, time, and lecturer for every session (see Appendix II for examples). This schedule enables participants to see if a course is right for them and enables SP Finance to comply with MIT's supplemental compensation guidelines and pay instructors.

CLASSROOMS

Faculty provide SP with preferred location for their course (classroom, computer lab, break-out rooms) by **October** f1 of the previous year it runs

- We reserve classrooms for all summer courses through the MIT Schedules Office. Classroom requests are sent to the Schedules Office according to this <u>strict</u> early timetable because of the high demand for classrooms during summer months.
- **Note:** Finding or changing rooms later in time may not be possible; finding a suitable room at a late date is even less likely.
- A list of classrooms, floor plans, and audio visual information is available at: http://web.mit.edu/registrar/general/cs/index.html but it is best to visit the classroom in person so that you will have a better sense of the layout and audio-visual equipment. SP will ask for preferences in classroom style – a more detailed request or a list of possible rooms will help obtain a suitable room if your first-choice room is not available.
- We work closely with Schedules to obtain preferred rooms; availability of those rooms cannot be guaranteed.
- The Schedules Office confirms classroom reservations with SP by February and we then notify faculty of their room assignments.
- Once you receive your classroom reservation confirmation, you will have two weeks to request a change (changes are not guaranteed).
- Please review the Classroom Rules of Use at: http://web.mit.edu/registrar/classrooms/gen_rules.html.
- **Note: Most of our classrooms operate under a no food or drink policy, and breaking this rule can result in our being barred from using the room for the summer or in the future.**
- If you have questions about the audio-visual equipment in a given room, please call MIT Audio-Visual services at 617-253-2808.
- **Note:** We ask that you **not give out classroom location** to registrants prior to their arrival on campus; we ask participants to come to a central registration session (usually Room 68-161) early on the first day of class for several reasons, including resolution of any outstanding tuition payments.
- **Note:** If you change your classroom location (on your own) at any time, i.e. to a room that is not managed through the Schedules Office, **you must notify us of the change** as soon as it is made; we must know where to direct registrants on the first day of class; on subsequent days, we must know where you are in case of late arrivals, emergency messages, etc.
- In case of a building or classroom emergency or problem, please call MIT Facilities: 617-253-4948 or open a ticket via Atlas. If problems continue with your classroom, please be sure to notify us.

PARTICIPANTS WITH DISABILITIES

- MIT Professional Education is committed to making our programs accessible to all qualified applicants. Participants with disabilities will be accommodated in accordance with MIT policy and relevant law. Participants with disabilities are encouraged to reach out to MIT Professional Education and we will work with MIT Student Disabilities Services (https://studentlife.mit.edu/sds) to find appropriate accommodations.
- Where possible, we will engage in no-cost solutions to assist participants. When services have a cost, costs will be split 50-50 with the course account.

KEYS, CODES, AND COURSE SIGNS

SP provides classroom key or keypad combination and a course sign to be posted outside the classroom during the course.

- We will email faculty or their assistant to arrange key pick-up the week before the class starts. Keys should be picked up no later than noon on the Friday before a course begins.
- Signs and easels should be kept by faculty/assistants for future use. If you need to reprint your course sign, please contact us for the file.
- **CAUTION:** no room can be considered completely secure, even if locked.
- We discourage participants from leaving anything unattended in the classroom, even just for lunch, as laptops and course materials have gone missing in the past.
- Keys must be returned to SP by the Monday after a class ends. If possible, please drop them off Friday afternoon after lunch. **Please do not return keys by inter-office or U.S. mail.**

FIRST DAY OF CLASS

SP conducts Registration on Monday mornings, usually in [68-181](#).

- SP summer courses start on Monday mornings.
- Faculty directors/admins should provide SP with at least one cell phone number for the course teams in case communication is needed on Monday morning.
- Courses are assigned a 30-45 minute window for registering, with 15-30 minutes to get to class. Registration times are staggered according to course start time.
- We provide a continental breakfast for registrants on Mondays at the registration location. Faculty and assistants are welcome to stop by, but please let us know if you'll be coming so that we order enough food.
- **Note**: Most registrants have paid tuition prior to their arrival on campus; for the few who have not, we use registration as a gate-keeping mechanism and work with them to

arrange for payment. <u>This is why we do NOT give out the classroom location prior to the registration session</u>. We want them to come to registration first.

- Registrants also receive (in addition to the materials e-mailed to them 2 ½ weeks before the course):
    - ❖ name tags
    - ❖ campus maps and directions to classroom
    - ❖ general MIT information
    - ❖ paper, PE-branded pen, and PE-branded tote bag
    - ❖ walk/drive map of Cambridge/Boston
    - ❖ 'T' map
    - ❖ MIT museum pass
    - ❖ Gym Access

CERTIFICATES OF COMPLETION

SP produces and delivers Certificates of Completion to the faculty.

- Each certificate needs to be signed by the lead faculty member(s). You may provide us with an electronic signature. If you prefer to use an electronic signature, please provide it by April 15.
- Certificates should be handed out at the end of the course, prior to the participants' departure.
- If this does not happen for any reason, such as the participant leaving early, or leaving the certificate behind, SP <u>must</u> be notified immediately.
- Participants who have not paid in full, with the exception of MIT employees using Tuition Assistance, will not receive their certificate until after we receive payment.
- We will make note of any certificates that need to be returned to our office. Please make arrangements with SP staff to return these certificates to our office after being signed.
- Any expenses for certificates that need to be mailed out to participants will be charged to the course account.

CONTINUING EDUCATION UNITS

Some participants want or require Continuing Education Units for licensing or continuing education/professional development requirements.

- MIT Professional Education issues CEUs to participants who successfully complete our courses.
- To qualify for CEUs, participants must attend all sessions and complete the electronic survey they receive from SP after the course has ended. This survey is in addition to any that faculty may distribute in class.

- If a participant leaves early enough to not complete the course, SP <u>must</u> be notified immediately to ensure CEUs are not awarded in error.
- We collect the participants' feedback and email survey results to faculty, usually in September.
- We issue CEU Award Letters to participants and maintain CEU records.

PROFESSIONAL CERTIFICATES

Professional Certificates are awarded for attending a series of courses in a particular topic.
As of 2018, SP offers three Professional Certificates, one in Real Estate Finance & Development, one in Innovation & Technology, and one in Machine Learning and Artificial Intelligence.

WHAT PARTICIPANTS EXPECT OF YOU

- To be on time for the class in the correct venue.
- To provide an accurate course description with an accurate and detailed course schedule (Appendix II) on the course website, and deliver what is described on the site.
- Timely communications, whether they contact you directly or through us.
- Morning and afternoon breaks with refreshments.
- A course lunch, reception, or dinner to facilitate networking.
- Certificates of Completion on the last day of class (provided to you by SP staff, faculty signatures required).
- If participants are not able to receive their certificates while they're on campus, the Short Programs team will send out the certificates via mail after confirming satisfactory completion of the courses.
- Course materials – this can be in the form of books, binders, or notes on a USB drive. Some participants expect printed materials to use in class, but please bear in mind that many participants have trouble bringing large items (binders, textbooks, etc.) home due to luggage restrictions. The consistent feedback is that materials, in whatever form, should be provided as early as possible and that participants are made aware of whether there will be printed or electronic materials prior to their arrival on campus.

CUSTOMER COMMUNICATION

The SP office responds to customer inquiries about courses. Any content or schedule questions that we cannot answer will be sent to the faculty. Please copy us on your response or send it directly to us so we can send it to the customer. Please do the same if applicants contact you directly.

- ❖ We begin accepting online registrations starting from late November, depending on the information faculty have provided. The SP team approves or rejects all applicants.
- ❖ We answer any questions from potential or actual registrants.
- ❖ We process applications, invoice for tuition, and collect tuition payments.
- ❖ We process requests for scholarships and discounts.
- ❖ With each acceptance letter, we send general policies, trip-planning information, local accommodations link, FAQs link, and information about course materials.
- ❖ We outsource reservations for dormitory housing to MIT Conference Services.
- ❖ We send registrants a pre-arrival email 2 ½ weeks before their course which includes:
    - ❖ time and place to formally register with SP on the first day of class
    - ❖ start time and basic hours of class (classroom location not given out at this time as we need all participants to come to Monday registration)
    - ❖ link to the interactive campus map: http://whereis.mit.edu/map-jpg and apps for navigating MIT
    - ❖ general MIT information
    - ❖ instructions specific to their course (anything they need to know about bringing computers, etc.) – If you have instructions for participants or information they need to know, please make sure we have it at least **3 weeks** before your course starts to include in these emails.
    - ❖ campus dining map and off-campus restaurant list
    - ❖ parking information (we do not provide parking; we list local garages)
    - ❖ links to area sites of interest
    - ❖ information specific to their course (anything they need to know about bringing computers, etc.) – If you have instructions for participants or information they need to know, please make sure we have it at least **3 weeks** before your course starts to include in these emails.
- ❖ Dress code tips
- ❖ Links to local area attractions
- ❖ After the course, we send participants a survey to get their feedback on the course and their experience at MIT.

COURSE ENROLLMENT

We consider the offering of a course to be a partnership between faculty and SP. Both parties are making a commitment to work together. SP commits to supporting courses for their scheduled dates, and faculty commit to making sure that their calendars are sufficiently clear for the dates in question. Once a course is put on our calendar, SP works to promote the course, enroll participants, and provide logistical support. By June of each year, SP has devoted considerable time and resources to each course.

Most, but not all, courses will realize sufficient enrollment. Faculty and SP staff should remain in contact concerning enrollment requirements/levels, and any decisions to cancel a course MUST be the result of discussions between faculty and SP. Please be aware that a cancelled course means wasted time and money for us: course-specific promotional events, transaction fees for refunds, and logistical support. Also, we have enrollees that are disappointed or very unhappy, particularly if they have purchased nonrefundable airplane tickets. Any decisions to cancel a course MUST be made no later than 4 weeks prior to the course start date.

Due to the increasing trend of participants enrolling later, it can be difficult to accurately forecast the final number of participants for a course. New courses may start out with a smaller enrollment in their early years, but we expect courses to attain a consistent enrollment of at least 20-25 participants within two to three years of their debut.

SP uses Hobsons' Radius software to manage our registrations. We provide each course with an account to view enrollment data. See Appendix III for details on reviewing course registrations.

IMPORTANT STANDARD ADMINISTRATIVE DATES & DEADLINES	
	SP will send an email requesting the information required for items below. We try to limit our communication to these major items and any questions from participants that need faculty input. Please let us know if there is a way to reach you and ensure a response by the deadline, such as by putting something specific in the subject line. This will help cut down on the number of follow-up emails we need to send.

DATE	ACTION
Early September - October	Basic course information required: course title, short description, tuition, and preferred classroom
Early November	Detailed course information required, including all personnel working on course; faculty should review their course website at this time as we receive 25% of our online traffic in the fall
Late November/ January	Registration opens; all major website updates should be complete
January - February	Ongoing minor website changes as needed
February	Classroom assignments distributed
March/April	Spring Logistics Questionnaire requested: course schedule confirmed, special event information, course materials, laptop requirements, course account information, and names of anyone teaching/assisting with course
April/May	Concerned about your enrollment? Contact us no later than now – course cancellations cannot occur fewer than 4 weeks before your start date
June/July/August	SP courses run
August	Check your expenses and make sure they are all showing in SAP. SP Finance will be contacting you about your revenue, and cannot make any payments to faculty, external lecturers, guest speakers, or assistants until you confirm all of your expenses have hit the account
August – October	If needed, post-course meeting with faculty and SP staff
September	Participant feedback emailed to faculty
November 30	Course accounts closed out and suspended

FINANCE

All finance emails should be sent to *spfinance@mit.edu*.

RESPONSIBILITIES FOR FACULTY DIRECTORS & ASSISTANTS

- All activities with MIT SP must be regarded as Outside Professional Activities (OPA). Activities for which faculty or staff receive supplemental compensation should be reported as compensated OPA and activities for which they do not receive supplemental compensation should be reported as uncompensated OPA, including activities for which they receive discretionary funds. The only exceptions are cases where the revenues generated by the PE activity are transferred to, and are used for the benefit of, the program from which the individual's regular MIT salary is paid, e.g. the Gordon Engineering Leadership Program.
- Inform SP **by September/October** of anyone, whether MIT, part time MIT, or non-MIT, who will be assisting with the course preparation, delivery, or lecturing. This includes TAs, undergrads, graduate students, and those who do not have consulting privileges with their appointment. **If SP is not notified of those assisting with the course that are expected to be compensated, we will not be able to compensate them for their services.**
- Provide SP with an updated course schedule detailing lecturer, topic, and time. (See Appendix II for example). The schedule is needed for participants and also to confirm that all payments to instructors adhere to MIT Supplemental Compensation Guidelines for special activities and programs.
- Notify SP Finance of anyone who needs authorization for purchasing, approval, or posting charges onto the course account and provide full names and Kerberos IDs by April 1st.
- Prepare and plan the course direct expenses, ensuring that they will be covered by the expected revenue.
- Process requisitions for PO requests (see Appendix IV-a for a sample) one or two months ahead of the course for any external vendors, caterers, copying centers, textbook publishers, independent contractors, etc. For any internal vendors. (see Appendix IV-b for a sample).
- Work with Procurement to provide the necessary information to set up new qualified vendors. See Appendix V, the Supplier Registration Forms.
- Coordinate course expenses with chosen vendors and appropriately pay their invoices.
  a) If vendor is paid by an RFP, please send RFP's to kshuler@mit.edu
  b) If vendor is paid by an external P.O., scan invoices to invoices@mit.coupahost.com/
  c) If vendor is paid by credit card, please inform SP Finance of your credit card verifier by April to ensure they have authorization to verify the expense against the account.

- Process travel vouchers approved by Faculty Directors through Concur for SP's review/approval.
- SP Finance is responsible for the approval of all invoices.

- Maintain original receipts and documents for all direct course-related expenses. Please do not provide us with any of your receipts. We will NOT be responsible for keeping them in-house.
- Verify that all course-related expenses are completely and accurately posted in the course account through SAP and notify us when all expenses have posted.
- Reconcile your course account and immediately notify us of any discrepancies that are found. We will work with the Faculty Director or Assistant in trying to resolve any issues as soon as possible.
- Send SP a signed copy of the Financial Review and Control Signoff form (Appendix VI). If this signed form is not received, we will not be able to disburse payment.
- For those who expect to transfer funds to a discretionary account, you must provide SP with a completed and accurately signed SP Course Discretionary Transfer Statement (Appendix VII) when you receive disbursement instructions.

Once all expenses have been confirmed and the account is reconciled, please notify SP Finance with all disbursement instructions. This will include compensation to any assisting faculty, external MIT admins, guest lecturers etc.

RESPONSIBILITES FOR THE SP FINANCE OFFICE

- Set up a cost object (account), accessible via SAP, for each course. The account number assigned to a particular course number will remain the same from year to year.
- Authorize course personnel to spend on the course account, per Faculty Director request. Please send these requests by April 1st.
- SP Administrative staff receive, process, and reconcile payments received from participants.
- SP Administrative staff collect delinquent payments from participants.
- Transfer revenue into course accounts as per the Revenue Report. Please review the timeline table on page 28 for more detail.
- Review and approve Invoices, RFPs, Travel Expenditures and Requisitions opened by Faculty Directors/Assistants.
- Process JV adjustments for any discrepancies or corrections noted by either SP or the Faculty Director/Assistant.
- Prepare Revenue Reports (Appendix VIII) for the review and approval of the Faculty Director/Assistant.
- Process supplemental salary payments to all eligible MIT employees as per the MIT Supplemental Salary Guidelines and as instructed by the Faculty Director.
- Process discretionary transfers or remaining net revenue distribution as indicated by the Faculty Director (FD).
- Prepare Closing Statements (Appendix IX) for course accounts and file in SP Finance.
- Suspend course accounts.

REVENUE

SP will provide the net funds available to faculty in conjunction with expenses in the Revenue Report, sent within 45 days after the completion of the course. The Revenue Report will reflect the tuition paid by attendees, as well as any discounts provided by the Faculty Director and/or SP.

CANCELLATION FEES

Cancellation fees are retained by SP and are not included in course revenue.

DISCOUNTS

Discounts should be taken into consideration when setting tuition rates. We request that faculty not discuss or announce discounts in class. If questions arise, please ask the registrant(s) to contact our office directly at *shortprograms@mit.edu*.

STANDARD DISCOUNTS

We offer various standard discounts.*
- Upon customer request, we will offer a **15%** ILP discount if a registrant's company is an ILP member.*
- Upon customer request, we will offer a discount for multiple registrations from a single organization: **15%** for 5 or more. All parties must register before any discount is applied.*
- We offer **15%** discounts for PE and MIT Alumni.*
- Various organizations promote our courses in exchange for **10-15%** discounts for their members.*

* Subject to change, please contact *shortprograms@mit.edu* for more information.

SCHOLARSHIPS

- Registrants can request scholarships through SP unless Faculty Directors specify that no scholarships will be given in a particular course. All requests must be answered within 2 ½ weeks or by March 1st, whichever is later.
- We forward all scholarship (tuition reduction) requests to faculty; Faculty Directors approve/reject the request and determine the amount of reduction. All reductions should be off the full-tuition rate and cannot be combined with existing discounts. Ex: A participant with a 10% discount who is granted a 15% scholarship would receive a total discount of 15%.
- All scholarship decisions are final. We do not collect CVs and do not allow negotiation with participants regarding scholarship amounts.
- Faculty must immediately alert SP Admin of any discount arrangements made directly with a participant, to ensure proper billing.
- Scholarships are considered discounts and reduce course revenue by the amount discounted.
- Faculty may choose to provide full scholarships, but SP Finance will charge a Guest Audit fee for any attendees who do not pay tuition but still go through our registration system and are treated like a regular participant (receiving SP materials, certificates, CEUs, appearing on the roster, etc.) This fee is usually between $100 and $250 and may be paid directly by the faculty (charged to the account as a course expense) or passed on to the participant. Guest Audits are counted as participants when calculating the marketing fee.

COURSE EXPENSES

There are two types of course expenses: Indirect and Direct expenses.

a. INDIRECT EXPENSES

Indirect expenses include Provost Fees, Administrative Fees, and Marketing Fees. They are deducted from the revenue as a percentage of actual collected revenues (not including cancellation fees), according to the following formula:

- **10%** Provost Fee, which is transferred to the Provost's Office.
- **20%** SP Administrative Fee, which covers the administrative and financial activities of the SP office, including but not limited to: responding to questions and requests from potential, current, and past participants; maintaining the registration system/database; processing payments; maintaining participant records; responding to inquiries and requests from course faculty and administrative assistants; preparing registration materials; reserving classroom and registration space; coordinating with MIT offices; setting up and administering course accounts; approving invoices; creating revenue and closing reports; and processing Supplemental Salary Payments and discretionary transfers.
- **20%** SP Marketing Fee, which covers the different avenues of course advertising, including the SP website and various forms of advertising.
- **1.5%** credit card fee, which covers credit card transactions.

> ### The indirect expenses are calculated as follows:
>
> *((Collected Tuition x participants) – scholarships and discounts, if applicable) x (10%+15%+15%)*

b. Direct Expenses

The direct expenses <u>MUST ALWAYS BE COURSE RELATED</u> and be carefully accounted for by the Faculty Director and/or Course Administrative Assistants. These expenses are typically deducted from the available revenue after the indirect expenses have been subtracted. (NOTE: the available revenue MUST be able to cover ALL indirect and direct expenses.)

- **All Compensation and Benefits (EB)**
    - EB Charges—Most EB rates are applied to all hourly staff salaries, Short Term Lecturers, and part-time MIT faculty who do not have a current appointment during the period of the course is run. For the **FY18 period, the EB is 25.6% for the hourly staff salaries and 8% for temporary Short Term lecturers, un-appointed faculty and part-time employees.**
    - Compensation to all instructors (MIT and non-MIT) must follow MIT guidelines. **See the MIT Supplemental Compensation Guidelines for Special Activities and Programs in Appendix I**.
- Materials, including books, software, course binders, USB drives, copyright fees.
- Breakfasts, lunches, dinners, coffee/snack breaks, receptions, and celebrations, whenever applicable.
- Room fee, if any.
- Audio visual equipment, if needed.
- Transportation costs (via bus, train, etc.)
- Travel expenses for lecturers.
- Other direct course expenses as approved by faculty.
- Alcoholic beverages are an allowable expense. However, they must be purchased and allocated properly.

- **If not directly course-related, expenses for equipment (including laptop computers), conferences, and subscriptions cannot be charged to the course account and are not reimbursable.**

Please Note: MIT is a tax exempt organization and therefore we do not reimburse domestic sales tax. http://vpf.mit.edu/mit-tax-forms-and-guidance

TYPES OF PAYMENTS

There are six types of payments associated with direct course expenses. Faculty Directors/Assistants are fully responsible for making payment for all direct expenses of their course, except for Supplemental Salary Payments.

MIT P-Card Payments
- **MIT P-Cards can be used for small dollar purchases less than $3,000.00. MIT encourages the use of the P-Card for purchases less than $500.**
- All MIT P-Card payments need to be supported by receipts with explanation of purpose.
- For meeting related expenses, please provide the topic of discussion, date, location and attendees of the expense.
- Please do NOT submit credit card receipts to SP. Retain them in your own files as per MIT Financial Review and Control (FRC) Guidelines.
- The P-Card cannot be used to pay for Professional/Consulting Service payments and/or travel related purchases.
- <u>Alcohol purchases are against MIT P-Card policy.</u> Please do not use an MIT P-Card to purchase any alcoholic beverages.
- If MIT employees purchase alcohol on their P-Cards and the transaction is audited it will result in an infraction on their P-Card file and may result in their P-Card being revoked.
- MIT employees and non-MIT employees can be reimbursed for alcohol purchases they pay for out of pocket as long as the purchase is beneficial and related to the course.
- Alcoholic beverages should always be separated from the original food receipt/invoice.
- Alcohol can be purchased via Purchase Order as part of a catered event.

IMPORTANT TIP: Make sure your P-Card verifier is authorized on the course account to be able to post your charges to the course account. This should be done by April 1st. Please do not wait until your charges are about to get swept before requesting authorization.

ELECTRONIC REQUESTS FOR PAYMENT (eRFP)

This type of payment can be processed through Atlas under the category "Manage Reimbursements" tab.
There are two kinds of payments that can be processed through an eRFP.

a. Reimbursements

Reimbursements are processed in Atlas under the category "Manage Reimbursements – Reimbursement."

- Receipts should be attached with the eRFP with an explanation of purpose. If the receipt involves a meeting, please provide the topic of discussion, date, location, and attendees.
- For reimbursements exceeding $500, a PO must be created.
  If an equipment purchase is required and pre-approved by SP for the course, a paper reimbursement is required in order to ensure the equipment is entered and tracked in MIT's property system. The RFP Form is located at https://vpf.mit.edu/about-vpf/business-units/accounts-payable.

b. Payment Taxable

An eRFP can be used to pay external vendors for services less than or equal to $500. A purchase order is not required.

- The vendor must provide a completed W-9 form for domestic, and a W-8 BEN for international.
- Make sure that a copy of the actual invoice is attached onto the eRFP.

INVOICE PAYMENTS

Note: Please route all eRFP's to Kandis Shuler at kshuler@mit.edu.

TRAVEL VOUCHERS

- A purpose for all destinations must be clearly documented on the traveler's expense voucher.
- Travel vouchers are processed in Atlas through the Concur Travel Expense tool under the Buying tab.
- Travel vouchers must be submitted to the Travel Office within 30 days of the completion of each trip.
- Travel vouchers MUST be a course-related expense. Details related to purpose, date, location, and attendees of the expenses will be required in the report.
- Receipts should be attached with every travel report. Itemized receipts must be provided for expenses over $75.
- As with non-meeting-related meals, alcoholic beverages must be segregated, categorized as "Alcoholic Beverages," and must be itemized within the report.
- Federal regulations require that MIT obtain the lowest available coach airfare with the following exceptions:
  - Airfare costs in excess of the lowest available airfare or customary coach airfare are NOT allowed unless: 1) accommodations are unreasonable or 2) flying time exceeds six hours.
  - When a flight has a scheduled air flying time of more than six hours (six hour rule), MIT will reimburse for business class (or first class) tickets.
- Whenever a traveler has traveled business class, the travel report should be itemized to report the difference in amount between coach vs. business class. The MIT Travel Per Diem Policy requires submission AND approval by the department head, lab director, or principal investigator prior to the time of travel.

All concur reports should be submitted to SP Finance for review and approval. MIT SP travel approver authorizations are not set up correctly in Concur. When submitting travel, please follow the steps listed below.

Instructions as follows:

1. Click on Details
2. Choose approval flow
3. Click the (+) in the "user add Approver" field
4. Search by email address
5. Input pcasey (Patricia Casey should appear)
6. Submit

Please note, if you were to submit the report without following these steps it would eventually be routed to SP from the travel Dept. for approval.
If there are any questions pertaining to travel please contact the travel office directly at 617-253-8366 or vpf.mit.edu/travel.

SUPPLEMENTAL SALARY PAYMENTS (MIT Employees)

SP is fully responsible for processing Supplemental Salary payments.

- Supplemental Salary Payments are paid to MIT faculty for their direct time spent preparing and teaching the course.
- No incremental benefits are paid in connection with supplemental compensation; the Employee Benefit deduction is not applied.
- Following MIT policy, all faculty and staff (with the exception of hourly-based employees) who plan to teach/assist with SP courses and expect payment should inform and obtain approval from their department head, their direct supervisors, and/or their Dean, **and include these activities in their Outside Professional Activities report to MIT**.
- Faculty and Assistants should inform SP, as soon as the payment amounts have been finalized. All payments must be in accordance with MIT Supplemental Guidelines and the course schedule.
- SP Finance will process Supplemental Salary Payments and send them to the appropriate Dean and/or department head for approval. Supplemental Salary Payments requested before the 15th of each month will generally be included in that month's paycheck. For more detailed information, please contact *spfinance@mit.edu*.

Payments to Hourly MIT Employees

Staff who teach in MIT's Professional Education Short Programs courses may want to utilize some of their administrative assistant's time for class preparation, upkeep of course budget and more. Faculty should seek advance approval from their Administrative Officer, Fiscal Officer or DLC Approver. The following is what faculty & admin are advised to do in this situation:

- Course Faculty/Director must obtain Pre-Approval from AO, FO or DLC for admin assistance.
- Course Faculty/Director must inform admin they will be assisting in the Short Programs course.
- Course Faculty/Director need to provide AO, FO or DLC approver C/O for the SP course.
- Admin must submit timesheets weekly for approval, per their usual process.
- AO, FO or DLC approver should allocate admin overtime hours only to the Short Programs C/O.

MIT PE can only compensate admins for overtime hours; there is no additional or separate payment for admin participation in SP courses.
All hourly staff (non-exempt employees) salaries carry an EB charge based on MIT's current approved rates. For FY18 the EB rate is 25.6%, for FY19 the EB rate is 25.6%. EB will be a direct expense to the course account; course revenue has to cover the EB cost. MIT PE is not responsible for any negative shortfall due to lack of revenue to cover the expense.

PAYMENTS TO INDIVIDUALS WITHOUT FULL-YEAR MIT APPOINTMENTS FOR TEACHING (LECTURES, INSTRUCTION)

- Payments to individuals who are not employed year-round by MIT require advance approval by the Faculty Director.
- Faculty Directors/Assistants should inform SP of those non-MIT professional/consultants' names and payment amounts in writing by March/April, or two months before the course commences.
- No professional/consulting services may be paid by MIT P-Card.
- Payments are taxable and social security numbers are required.
- After extensive discussions with MIT Human Resources, MIT Office of the General Counsel, and the SoE Dean's Office regarding the best way to pay non-MIT individuals for teaching, MIT Professional Education has created the following guidelines:
- 1. All non-MIT employees or sometime MIT employees who do not have an active appointment during the dates the course will be run/work will be performed (US citizens) who teach with MIT Professional Education **on no more than one calendar day** will be paid as Independent Contractors.
- 2. All other non-MIT employees or sometime MIT employees who do not have an active appointment during the dates the course will be run who are lecturing/teaching **more than one calendar day** will become non-benefits eligible temporary MIT employees called Short Term Lecturers. Even if a lecturer's total hours add up to less than one day, if they lecture on multiple days, they must go through the Short Term Lecturer process.

a. Individuals Teaching Only One Calendar Day (Independent Contractors)

An Independent Contractor is any non-MIT employee hired to lecture, teach, or assist with a course for a single calendar day. **This is also true for hiring a company not self-owned by the individual to provide lecturers that teach for more than one day.** Individuals not provided by a company working on a course over multiple days do not fall under this category and should refer to section b on the next page.

- Individuals and companies must fill out a W-9 form if domestic and a W8 Ben if international (Appendix XIII)
- Individuals and companies must fill out a Supplier Registration form if not in MIT's buying system. (Appendix V).
- Individuals must fill out an Independent Contractor Registration form (Appendix X).
- The Requisitioner must fill out an Independent Contractor Registration form-Department Portion (Appendix X).
- Individuals-must provide a Statement of Work which provides a complete description of the services to be provided, description of deliverables, the period of performance, the agreed-upon Costs/Pay Rate, and an estimate of the Total Cost of services.
- A Selection of Source Form is needed if the payment amount to the contractor exceeds $10,000.00 (XI).

- Individuals and companies must provide a detailed invoice of services.
- Professional/consulting and co-instruction services are assigned to General Ledger (G/L) 420298 (Consulting/Professional Services).
- For more detailed information, please refer to: http://vpf.mit.edu/site/sourcing_procurement/policies_procedures/independent_contractor_instructions

b. Individuals Teaching Two or More Calendar Days

Any non-MIT employee or person without a full year, active MIT appointment **during the dates of the course run** teaching for more than a single calendar day will be paid as a temporary employee. Completion of the appropriate new hire paperwork must be completed either prior to teaching or on the first day of the scheduled lecture. The following is required:

- Complete the registration form at http://web.mit.edu/professional/enrollment-form/short-term-lecturer-form.html. Use "hire" as the password to access the form.
- Complete and return the Federal and Massachusetts State withholding exemption certificates (W-4 and M-4). Completed forms should be mailed to MIT Professional Education, Attn: Finance, 700 Technology Square, Suite 416, Cambridge MA 02139, or you may fax them to 617-258-8831, Attn: Finance.
- If emailing or faxing exemption forms, please leave the SSN field blank. You will need to call SP Finance at 617-253-6537 with your SSN and we will fill in that information for you.
- If you do not wish to submit forms W-4 and M-4, the exemptions will default to zero (0). Please email spfinace@mit.edu if you decide to let you exemptions default to zero.
- Complete and sign Section 1 of the I-9 form. Please visit https://mit.i9servicecenter.com to sign electronically. Once completed and e-signed, the form will be forwarded automatically to MIT's I-9 office.
- The form I-9, Section 2 must be reviewed, completed and signed in the presence of an authorized person. Please bring all original unexpired documents to location E17-106 on MIT campus before the first day of your scheduled course lectures. The I-9 Office Hours are Monday-Friday, 8:00 am – 5:00 pm.
- Submit an Authorization Agreement for Direct Deposit (Add Appendix). Although optional, not choosing direct deposit will result in a live check being mailed to the address provided
- You will receive your payment less withholdings taxes upon approval of the course Director at a later date. As a temporary MIT employee, taxes will be withheld from your total compensation.
- Employee Benefits of 8% will be charged to the course account. **This amount must be covered by the course revenue.**

RECONCILIATION

Faculty Directors/Assistants are fully responsible for course direct expense reconciliations, except for Supplemental Salary Payments.

- Reconcile posted expenses with receipts and documents on a monthly basis.
- After reconciliation of all the course direct expenses, Faculty Directors/Assistants are required to sign a Financial Review and Control Signoff form (Appendix VI).
- Maintain all the receipts and documents for 5 years in case of any potential Audit Reviews.
- Any discrepancies must be reported to SP Finance in writing as soon as they are identified.

For reconciliation, please follow MIT's Financial Review and Control policy: http://vpf.mit.edu/site/general_ledger_operations_reporting/policies_procedures/financial_review_and_control/2_0_approach_to_monthly_review.

VERIFICATION

Faculty Directors/Assistants are fully responsible for reconciling all expenses except for Supplemental Salary Payments and verifying the reconciliation via the Financial Review and Control Signoff form. After the reconciliation has been performed, they must verify to SP via email that all the direct expense charges have been accurately posted to SAP. The Financial Review and Control Signoff form must have the month in which the reconciliation and verification is being performed and the appropriate course account number. It also must be dated and signed.

REVENUE REPORTS & CLOSING ACTIVITIES

SP is fully responsible for the following closing activities. Closing activities will start only after Faculty Directors/Assistants verify that all course direct expenses have been posted to SAP, which is no later than **45** days after the course ends.

- No later than 45 days after the course ends, we will send the preliminary Revenue Report (Appendix VIII) and it will show the gross revenue, indirect and direct course expenses, and available net revenue for Supplemental Salary Payments and discretionary account distributions.
- Faculty/Assistants provide disbursement instruction to SP Finance within 25 days.
- SP Finance provides all supplemental payments and discretionary transfers which should result in a zero balance.

Important Notice All faculty disbursements instructions <u>must</u> be provided to SP Finance <u>no later than 9/30.</u>

DISCRETIONARY ACCOUNTS TRANSFER

For those MIT faculty who would like all or part of their payment to be transferred to a discretionary account, this election must be done by completing and returning the SP Course Discretionary Transfer Statement (Appendix VII).

- If there is a surplus after the salary payments, and no distribution instructions are received from the Faculty Director regarding the disbursement of the surplus balance by October 15th, SP will transfer the remaining revenue to faculty accounts per historical record.

SUSPENDING ACCOUNTS

- It is planned and is expected by SP that course accounts will be suspended no later than November 1st of each year.
- You will receive an email from vpf-costobject@mit.edu showing the effective date of your account closing. This means that the account is suspended.
- Accounts will be activated on April 1st of each year for the summer courses. If any charges are needed for the upcoming course before April 1st, please email *spfinance@mit.edu*.
- There will be no change in your course account number.

OVERRUN POLICY

Once Net Revenue has been distributed, any new deficits or overruns are the responsibility of the Faculty Director. SP cannot carry over any balances until the next year.

Adjustment should be processed no later than 15 days after the notification from SP Finance of the deficit.

Important Notice: Once a course account has been closed, no further course expenses will be processed or permitted.

SUMMER COURSE FINANCE TIMELINE

For further details on Finance processes and guidelines please contact *spfinance@mit.edu*.

DATE	ACTION
March – April	1. Faculty Directors/Assistants inform SP of any personnel (MIT or external) whom they plan to have assisting with/instructing the course. 2. If non-MIT personnel, we need to know if they will be working for one calendar day or more and if more, we need to know whether they have authorization to work in the US. 3. By April 1st, provide SP finance the full name and Kerberos ID for any credit card verifier that needs to be given authorization to approve and post charges onto the course account and any course personnel who needs to spend on the account.
June – September	All expenses should be processed, posted, and reconciled by Faculty Directors/Assistants no later than 45 days after the course ends.
August	SP Finance will be contacting you about your revenue and cannot make any payments to faculty, external lecturers, guest speakers, or assistants until you confirm all of your expenses are in.
August – October	1. The Revenue Report will be prepared by SP Finance and sent to faculty no later than 45 days after the course ends. 2. After the Revenue Report has been sent, the Faculty Director instructs SP Finance how to disburse any remaining balance. All compensation instructions must be in compliance with the MIT Compensation Guidelines for Special Activities and Programs. 3. If you choose to receive compensation via a discretionary transfer, please complete the SP Course Discretionary Transfer Statement.
October 15	If by October 15th no requests have been received by SP from the Faculty Director, then SP will process Supplemental Salary Payments or discretionary transfers based on the information in the course schedule to exhaust the balance.
November 15	Accounts will be suspended no later than November 15th each year.

MARKETING

The MIT Professional Education Marketing team handles the SP marketing for the program as a whole and by promoting the subject categories for our courses. We also assist faculty with targeting individual courses to appropriate audiences as needed. In order to successfully market our courses we need your assistance and support throughout the year – marketing never stops. Please email *pemarketing@mit.edu* if you need assistance with any of these activities or have any questions.

EMAIL MARKETING

- We promote courses by emailing various groups throughout the year, including:
    - MIT Alumni Association
    - MIT Professional Education alumni
    - MIT Professional Education mailing list (people who have contacted us to request information)
    - ILP members

- We arrange for email promotion via MIT groups, such as MITEI, MISTI, Sloan Executive Education, and Lincoln Lab, which have or work with members in industry.
- We advertise via groups such as IEEE, *Technology Review*, and other publishers/professional societies that reach qualified professionals in industry through newsletters and other member communications.
- Faculty and their contributing lecturers can help us by recommending relevant professional associations which may have email lists or sponsorship packages available. If your group/department has a mailing list or produces a newsletter, be sure to inform them of your course and let us know who manages that list/publication so we can work with them to get the word out as well.
- Link to your course in your email signature. Course information (title, dates, and course page link) in your email signature is a quick and easy way to let your contacts know you're offering a summer course.
- Do you or your lecturers work or consult with any companies? See if there is an appropriate audience to have a message sent through them about the course you direct/lecture in. We can help you craft this message.

ADVERTISING

PRINT MARKETING

- Each year, we design a SP schedule and brochure. Both of these are available as a pdf download on our website. The schedule is also distributed in hard copy at conferences and events. If you have an event suitable for print materials, please contact *pemarketing@mit.edu* three weeks in advance of your suggested conference or event to ensure ample time for preparation.
- We place topic-area and program-level ads in publications such as *IEEE Spectrum*, *Technology Review*, *Chemical & Engineering News*, *INCOSE Insight*, and *MassBio news*.
- Please provide a list of suggested industry publications, specific to your course, for potential print and digital advertising.
- Faculty are welcome to pursue print marketing for their course(s), either printing a course-specific flyer or placing ads in print publications. We can assist with these activities, for example, by obtaining discounted rates on ads, but there will be an additional marketing fee assessed. Please contact *pemarketing@mit.edu* with questions.

ELECTRONIC MARKETING

- We advertise in electronic newsletters of organizations such as ISPE, IEEE, *Technology Review*, MassBio, and more.
- We design and place banner ads on websites like Technology Review and arrange for courses to be listed on relevant Event Calendars for groups like INFORMS, MassBio, and ILP.
- Please provide a list of suggested industry websites, specific to your course, for potential electronic advertising.
- We promote each course via Google AdWords (search engine marketing) with a variety of keywords related to the topic matter of the course and industry-related terms. This runs from January to June. Please contact *pemarketing@mit.edu* by January 31st of each year to discuss the advertising of your course, potential keywords to use, and any questions about Google AdWords.

COMMUNICATIONS, PR, & MEDIA

- MIT Professional Education publishes a twice-yearly newsletter. We often have a faculty spotlight feature, highlight participant experiences, and address new and interesting happenings with our programs. We also email this newsletter to our mailing list.
- We are always pitching ideas and stories to media outlets, including MIT News, regarding our faculty and program offerings. Please don't hesitate to contact us with ideas for stories – we love to get the word out about research or projects you're doing. We're happy to work with your department to provide you with content and/or a feature article that would promote you and your course to your audience.
- New courses will be promoted with press releases and PR.
- We will coordinate opportunities for faculty interviews, thought leadership pieces, and other ways to use media to promote courses
- If you write any articles (blog posts, etc.) or are interviewed for any stories through MIT News or other media publications, try to highlight your short course if relevant and inform us so we can link to the story/media.
- Inform us of any news media about you, such as videos or news articles. If appropriate, we will link to this content from your course page and push out content via social media and email campaigns.

SP COURSE WEBSITE

- Faculty provide SP with basic course information and updates by September 1st:
    - ❖ course title
    - ❖ preferred dates
    - ❖ tuition
    - ❖ brief description
    - ❖ target audience (for new or significantly changed courses)
    - ❖ approximate daily start and end times (for CEU calculations)

- The basic course information above will be posted to the SP website (http://shortprograms.mit.edu), and will be used for promotional materials.
- Faculty provide SP with the full course description or updates by November 1st. This description should be as accurate and detailed as possible, and should be updated when changes are made to the course content, format, or schedule. If no updates are provided by November 1st, SP will post the previous year's information online. Participants expect detailed descriptions of what will be covered and what the schedule will look like. Complaints have been made about courses that did not match their description, did not deliver what was promised, had out of date descriptions, and/or had inaccurate schedules.
- We post course information to the SP website (http://shortprograms.mit.edu) on a weekly schedule after the major updates in October and November. Updates received by Friday will be posted by the following Thursday. The website information

should be as accurate as possible. Faculty should send updates whenever they make changes to the course content or schedule, with a maximum of 2 updates per month.
- Faculty provide class schedule information to SP no later than April. This includes information about daily class start and end times, lecture schedule, and dates and times of tours, receptions, dinners, and whether or not family members may attend those out of class events.
- We post class schedules on our website as early as possible. Registrants want this information in order to make travel plans, including flight and hotel reservations.
- If updated content is not received by November 1st, we cannot guarantee that your course will be included in any planned marketing campaigns that start before we open registration. However, marketing campaigns officially start as of September 1st. We highly recommend that you provide at least the basic course information by September 1st.

MIT WEBSITES

- We contact each department with contributing faculty to arrange for listing relevant courses on the department website, for example on Event Calendars and Education pages.
- We post course descriptions and links on the ILP calendar and arrange for ILP faculty bio pages to be updated with course links.
- We also promote on other MIT websites, such as OCW, MIT home page links, Sloan Executive Education, MITEI, and more.
- Faculty should update any of their internal MIT pages, such as department bios and lab/research group pages, with links to your SP course page as soon as your dates are confirmed. We highly recommend updating by November 15th and listing your course title and dates, instructor name(s), and a call to action with a link to your course webpage (see sample below).

EXAMPLE FORMAT:

MIT Professional Education Short Programs
Course Title
Course Faculty
Course Dates
Learn more and enroll today (link to your course webpage)

COURSE TEMPLATES AND LOGOS

We request that all courses use MIT PE templates. Our goal is to offer our participants professional-looking materials that are consistent with the MIT Professional Education brand.

CONFERENCES & EVENTS

MIT Professional Education promotes our programs, including SP, by attending, sponsoring, or sending materials to a variety of conferences throughout the year.

These conferences and events may include:
- ❖ ILP Conferences
- ❖ Lincoln Lab Vendor Shows
- ❖ Education Open House Events at local companies
- ❖ ISPE Product Show
- ❖ *Technology Review's* EmTech
- ❖ MIT Energy Conference
- ❖ MIT Alumni Boston Seminar Series
- ❖ MIT Tech Reunions and various other events taking place on the MIT campus

- ▪ Let us know if you are speaking at any conferences/events where the target market would be a good match for your program. In some cases we can provide collateral and/or possibly be a sponsor at the event. Some faculty have found that mentioning their course or just putting up a slide with course information at the end of a talk is helpful. We can provide a PowerPoint slide for you, or you can use the templates provided on the Information for Faculty website: http://web.mit.edu/professional/summer/faculty/index.html.
- ▪ If you have an event suitable for print materials, please contact *pemarketing@mit.edu* three weeks in advance of your suggested conference or event to ensure ample time for preparation.

SOCIAL MEDIA

We use Twitter, Facebook, LinkedIn, and YouTube to promote our courses and publicize related news through the MIT Professional Education social media networks.

- ▪ We maintain Twitter, Facebook, and LinkedIn pages to help promote courses and faculty, as well as general Institute news. We also have a special LinkedIn group for SP

alumni. We encourage faculty, instructors, and administrative assistants to also join this group.

- Faculty and their contributing lecturers should update their LinkedIn profiles with a mention of the course and a link to the course page under the "Websites" and "Experience" sections.
- Faculty should also add their course as an event in LinkedIn and ask their Assistants and guest lecturers to link to the event as well as set their status to "attending."
- Please send us your social media handles, as well as the handles of your department or lab, so we can include them in our posts as we promote your course.
- If either you or your lab uses Twitter, mention the course and get the word out to your followers.
- Please become a fan, member, or follower of our social media platforms and share content or messaging with our fans and past participants.
- During your summer course, help us promote our social media to participants. Ask them to be active and tweet their thoughts through Twitter. Handouts and instructions are available.

Join us and connect with your participants and fans of MIT Professional Education:
LinkedIn: http://www.linkedin.com/groups?about=&gid=2352439
Facebook: http://www.facebook.com/MITProfessionalEducation
Twitter: http://twitter.com/MITProfessional
YouTube: http://www.youtube.com/user/MITProfessionalEd/

GENERAL ACTIVITIES & SUGGESTIONS

- Activate your networks and communicate with SP about marketing activities specific to your course.
- Add your course URL to your email signature.
- Make sure your course description is updated to meet current market needs. Who is the target market for your course? Are the keywords you provided for Google AdWords actually in your course description?
- Inform us of any news media about you, such as videos or news articles. If appropriate, we will link to this content from your course page and push out content via social media and email campaigns.
- Volunteer to do a short pre-recorded webinar or video that provides a sample of your summer content in order to share with potential participants and custom clients.
- Be aware of MIT Professional Education templates and logo guidelines and maintain a consistent look and feel for all materials, templates, and handouts. (See section: Course Templates and Logos on page 31 for details.)

- Please share your success stories with us – has your SP course led to grants, research collaborations, or other opportunities?

NEW COURSE PROPOSALS

We are always looking for new courses that meet market demands and complement our existing portfolio. If you would like to offer a new course on campus, or anywhere in the world, or if any of your colleagues would like to learn how they can offer a course, please contact *shortprograms@mit.edu* to initiate a preliminary discussion. Proposals can be submitted no later than April 1 to be considered for inclusion in the **following** summer's offerings.

FREQUENTLY ASKED QUESTIONS
COURSE LOGISTICS

Q: Who should I contact for ordering morning and afternoon coffee and snacks?
A: You can use any on-campus catering service (http://dining.mit.edu/catering) or go outside MIT.

Q: Should I provide pre-reads to my course participants?
A: Some participants find it useful to have materials available to them before the course begins so that they can better prepare; however, it is really up to you if you want to provide any suggested or required reading materials before the course begins. If you have told us in the spring logistics questionnaire that you will be providing pre-reads, we must have those pre-reads by **April 30**th to post to the website or send to participants. If we do not have pre-reads by that date, we will remove that notation from your course website and assume there will be no pre-reads.

Q: What are the hours that a course runs?
A: SP courses typically start between 8:00 and 9:30 am and run through 4:00 to 5:30 pm.

Q: Does my course have to start and end at the same time every day?
A: You can start and end your course anytime you like. We just need to be kept aware of your schedule so it can go on the course website. Participants like having schedule information as early as possible. Many courses do tend to end earlier on the last day of class to allow for participants' flight schedules.

Q: Should I correspond with those interested in my course, if I am directly contacted by them?
A: If potential participants contact you about technical aspects of your course, we encourage you to respond directly and cc *shortprograms@mit.edu*. If they're asking about something more general, you can also direct them to us or forward their message to us for a response. If you do correspond directly with interested participants, please copy SP so we're aware of any information you've provided – other participants may have the same question and we can save you some effort later on.

Q: I will be using USB drives for my course presentations with MIT PC/projection equipment. Who runs the PC/projection equipment in the classrooms?
A: Please contact MIT Audio Visual Services: 617-253-2808, *avorders@mit.edu*.

Q: One of our speakers will use a CD instead of a USB drive. Is my classroom projection equipment able to handle CDs?
A: Please contact MIT Audio Visual Services: 617-253-2808, *avorders@mit.edu*.

Q: The audio/visual equipment is not working properly in my classroom. Who should I contact?

A: Please contact Audio Visual Services maintenance: 617-253-2808, *avmaint@mit.edu*.

Q: Do I need to print out rosters for my attendees?
A: Only if you wish to distribute hard copies. We will email rosters to participants on the first day of the course, shortly after everyone checks in.
Q: Can I or my fellow participants videotape or otherwise record my course?
A: Please contact the SP Director to discuss any requests to record all or part of the course. No recording should take place without the director's prior consent.

COURSE ENROLLMENT

Q: When does SP start accepting applications for the upcoming year?
A: Registration typically opens in November or December.

Q: When should I expect to see enrollments?
A. Enrollments will start to come in as soon as registration is open. However, given the current economy, we have found that registrations are coming in later and later in the season. You should expect to see the bulk of your registrations coming in March – early June, depending on when your course is running.

Q: When will I receive a list of my course attendees?
A: You can see your enrollment in real-time throughout the season using our registration system (see Appendix III, Reviewing Registrations). We will also provide an electronic course roster to you the Thursday before your course runs.

FINANCES

Q: Once my course has ended, when will I get paid?
A: Faculty Directors will get paid soon after three conditions are met: all tuition payments have been collected, Faculty Directors have verified that ALL their direct course expenses have been posted to the course account and no more expenses are projected to hit the account, and the FRC Sign Off form has been signed and submitted to SP. Only after all of these conditions can be met can Faculty Directors be paid. This process should take no more than 90 days from the end of the course.

Q: Are payments to faculty delayed if tuition payments are not made before the course?
A: Yes. All revenue must be collected before payment can be disbursed to faculty. MIT Tuition Assistance payments are all made after the course and this may cause short delays in faculty payments. Although extremely unusual, any installment plans that did not conclude before the course ran could also delay payment.

Q: How much should I offer for a scholarship request?
A: The decision to grant scholarships is entirely up to you. The amount of each scholarship varies but is typically between 10% and 50%. Some professors only offer discounts to

academics; others offer scholarships to any person in need. Based on the criteria most faculty have used in the past, we are discouraging participants working in industry from requesting scholarships. We will, however, continue to send all requests we receive to you unless you specify otherwise or the registrant has requested a scholarship after submitting payment. No decisions can be modified after we re-invoice registrants.

Q: Does a scholarship mean that I actually pay for the participant's expenses?
A: Scholarships function as discounts and reduce the tuition due by the amount granted. Revenue is reduced but fees are not increased. However, guest audits are assessed fees (typically $100 to $250). It is up to faculty whether they want to pay these fees or pass them on to their registrant. Please note that guest audits are included in the number of participants used to calculate marketing fees.

Q: How should I calculate what I want to give as a scholarship?
A: Scholarships should be calculated either as a flat fee (the amount you want to discount the course) or as a percentage off the full-tuition price, and not combined with any other discount. Ex: A registrant with a 10% discount code, granted a 15% scholarship, would receive a total discount of 15%.

Q. Why am I being charged an audit fee as a direct course expense?
A. SP incurs expenses for auditing students. If they register and receive course materials and certificates from us, we need to charge an audit fee of $250 to make sure that we are still covering the expense of having that student in the class. You may choose to have the student pay that fee instead of charging it to your course account.

Q. Can I ask SP staff to make purchases for my course?
A. No. All course expenses must be handled by the Faculty Director/Assistant or their delegates. SP staff will not handle individual course expenses other than Supplemental Salary Payments.

Q. When is my course account opened?
A. Accounts open in April of each year. If you need to make purchases earlier, please contact *spfinance@mit.edu* to open your account.

Q. What materials and services can I pay for with my P-Card? Should I be responsible for keeping the receipts?
A. MIT P-Cards can be used for purchases of any approved items less than $3,000 and MIT encourages the use of the P-Card for purchases less than $500. Examples of valid P-Card purchases include course-related food and beverage, printing and copying expenses, books, course materials, and postage. Faculty and assistants are fully responsible for keeping all the credit card receipts and cooperating with MIT Internal Auditors on credit card payments when necessary.

Q. Why do I need to cooperate with the MIT Auditors to provide copies of receipts for my course expenses?

A. Faculty Directors and Administrative Assistants have direct knowledge of these expenses, so it is their responsibility to keep all receipts and to perform monthly reconciliations on the course account. They are therefore better able to explain charges to Auditors if necessary.

Q. For the Selection of Source form, do the quotes have to have additional written documentation?
A. MIT requires vendor and price justification for requisitions exceeding $5,000. Whenever available, the quote should be presented in the explanation part of the Selection of Source form. A quote and additional documentation is only mandatory for requisitions that exceed $10,000.

Q. When should the Faculty Director and MIT lecturers submit the SP Course Discretionary Transfer Statement?
A. This form should be completed, signed, and submitted to SP Finance by no later than one week before the course starts.

Q. My department centralizes all financial operations. If I'm not authorized for financial responsibilities and my professor doesn't handle them, who should handle the financial tasks for our course, including account reconciliation, posting credit card charges, paying vendors, and signing the Financial Control & Signoff form?
A. If your department centralizes all financial matters, you and the faculty should speak directly with the Fiscal Officer or AO to see what additional personnel should be authorized on the course account to perform all the necessary financial tasks associated with running a course with SP. Authorization requests should be emailed to *spfinance@mit.edu*.

Q. I am a new assistant at MIT. Where do I get training to do all of these financial tasks?
A. Depending on your department structure, you may or may not be responsible for all of the tasks listed in this handbook. Check with your direct supervisor to see what tasks/training are applicable to you. To see all the training that MIT has available, you can go to the MIT Learning Center (https://atlas.mit.edu/atlas/Home.action#my_account_1).

Q. How can I get my credit card verifier access to post my course direct expenses onto the course account?
A. Please email *spfinance@mit.edu* with the verifier's full name and Kerberos ID. When the request is received, SP Finance will process the authorization and it should become active within 24 hours. Please do not wait until your charges are about to be swept before requesting authorization.

Q. If I found a discrepancy on my course account, what should I do?
A. Please notify *spfinance@mit.edu* of the discrepancy as soon as possible.

Q. Can I pay a student for his/her help?
A. No.

Q. Can I give gift cards to my students and course assistants in lieu of payment?

A. No. Course funds cannot be used to buy gift cards and you will not be reimbursed for such purchases.

Q. Why does my account need to be frozen?
A. For the purpose of avoiding mistakes and unnecessary overruns, all course accounts will be frozen after the balance is zeroed.

Q. How can I make purchases when there is no money in my course account?
A. SP accounts operate negatively for much of the year and faculty should expect to see a negative balance once they start to make charges. You can charge expenses beginning in April, but make sure that your expected revenue covers the costs you are incurring plus your indirect expenses (SP and Provost Fees). You can check your expected revenue via the Radius Current Year Invoices View (see Appendix III, Reviewing Registrations for details). Net revenue is transferred in as part of the closing process and brings the account back to a positive balance before faculty payments are made. The account will then be at a zero balance until your first charge of the next session of the course.

Q. In the event that my account is overrun, who is responsible for the deficit?
A. Once the Faculty Director(s) confirm that all expenses are in and the net revenue has been distributed to Faculty Director(s) and the account is zeroed out, any new deficits or overruns are the responsibility of the Faculty Director(s) and will have to be refunded by them.

MARKETING

Q: I need to make a change to my course web page. What should I do?
A: Please send your web changes to *shortprograms@mit.edu*. Standard web turn-around is about one week, although in many cases we are able to do web updates within a day or two.

Q: When does marketing for SP courses start?
A: Marketing runs all year long, but many of our campaigns start in the fall. We highly recommend that information for your course be submitted by September 1st to get the most benefit from our marketing efforts

Q: How are conferences and events chosen to promote Short Program courses?
A: Events are chosen because there is a good match between our courses, the conference subject matter, and the professional audience attending the event.

Q: Are there MIT Professional Education-branded templates I can use for my course materials?
A: Yes, we have several templates available for use in your course. (See section: Course Templates and Logos on page 31 for details.)

Q: What if I want to have some extra advertising done, such as sending out a mailer or email or doing my own print ad?

A: Faculty are welcome to pursue additional marketing for their course(s), either printing a course-specific flyer or placing ads in print publications. Marketing can assist with these activities, for example, by obtaining discounted rates on ads, but there will be an **additional marketing fee assessed.** Please contact *pemarketing@mit.edu* with questions.

Please visit the SP website for FAQs geared towards participants. There may be information here that is also useful for you: http://web.mit.edu/professional/short-programs/faq.html.

HELPFUL LINKS

Classroom-Related

- Classroom inventory: http://web.mit.edu/registrar/classrooms/inventory.html
- Classroom use rules: http://web.mit.edu/registrar/classrooms/gen_rules.html

Finance-Related

- MIT Supplemental Compensation Guidelines: https://web.mit.edu/engineering/certsecure/AO/Supplemental_Comp_Guidelines_2016_prologue.pdf~~https://web.mit.edu/engineering/certsecure/AO/Supplemental_Comp_Guidelines_2012_prologue.pdf~~
- MIT's Financial Review and Control policy: http://vpf.mit.edu/site/general_ledger_operations_reporting/policies_procedures/financial_review_and_control/2_0_approach_to_monthly_review
- MIT's Salary Certification policy: http://vpf.mit.edu/site/payroll/policies_procedures/salary_certification_policy/1_0_salary_certification_policy
- Independent Contractor info: http://vpf.mit.edu/site/sourcing_procurement/policies_procedures/independent_contractor_instructions
- Supplier Registration Form: http://vpf.mit.edu/site/sourcing_procurement/forms_and_templates
- Limitations on outside professional activity: http://web.mit.edu/policies/4/4.5.html
- I-9 form: http://www.uscis.gov/sites/default/files/files/form/i-9.pdf

Marketing-Related

- SP LinkedIn page: http://www.linkedin.com/groups?about=&gid=2352439
- PE LinkedIn page: http://www.linkedin.com/groups?about=&gid=73833
- PE Facebook page: http://www.facebook.com/MITProfessionalEducation
- PE Twitter page: http://twitter.com/MITProfessional
- PE YouTube page: http://www.youtube.com/user/MITProfessionalEd/

- Recent News & Updates for MIT Professional Education
http://web.mit.edu/professional/about/news.html

- Course Templates and Logos
https://web.mit.edu/professional/summer/faculty/private/index.html

- Guidelines on using the MIT graphic identity
http://web.mit.edu/graphicidentity/

General

- SP website: http://shortprograms.mit.edu
- SP FAQs: http://web.mit.edu/professional/short-programs/faq.html
- Interactive campus map: http://whereis.mit.edu/map-jpg
- MIT Wireless access information: http://ist.mit.edu/start-guests
- Information for Faculty website: http://web.mit.edu/professional/summer/faculty

Email Addresses

- SP email: *shortprograms@mit.edu*
- Finance-related emails: *spfinance@mit.edu*
- Marketing-related emails: *pemarketing@mit.edu*
- Audio/Visual problems email: *avmaint@mit.edu*
- Audio/Visual orders: *avorders@mit.edu*
- Facilities: *dof-csc@mit.edu*

SUMMER SCHEDULE COMBINED TIMELINE: ADMINSTRATIVE AND FINANCIAL

DATE	ACTION
Early September - October	Basic course information required: course title, short description, tuition, and preferred classroom
Early November	Detailed course information required, including all personnel working on course; faculty should review their course website at this time as we receive 25% of our online traffic in the fall
Late November/ January	Registration opens; all major website updates should be complete
January - February	Ongoing minor website changes as needed
February	Classroom assignments distributed
March/April	1. Spring Logistics Questionnaire requested: course schedule confirmed, special event information, course materials, laptop requirements, and course account information 2. Faculty Directors/Assistants must inform SP of any personnel (MIT or external) who they plan to have prepare, assist with, and/or instruct the course. 3. If non-MIT personnel, SP needs to know if they will be working for one calendar day or more and if more, we need to know whether have authorization to work in the US 4. Additionally, SP must be informed if you are using any TAs (Teaching Assistants), graduate students, or external assistants. Compensating them may require pre-approval by the relevant department head and/or academic dean.
April/May	1. Concerned about your enrollment? Contact us no later than now – course cancellations cannot occur fewer than 4 weeks before your start date 2. If needed, request a meeting or conference call with the SP Finance team to discuss guidelines regarding compensation or finance matters in general.

May - July	By May 1st, provide SP Finance with the full name and Kerberos ID of any MIT personnel (including credit card verifiers, faculty, administrative assistants, financial officers, etc.) that need to be given authorization to report, spend, and post charges onto the course account.
June/July/August	SP courses run
June - September	Faculty Director/Assistant should make sure all expenses are processed, posted, and reconciled no later than 60 days after the course ends.
August	SP Finance will be contacting you about your revenue, and cannot make any payments to faculty, external lecturers, guest speakers, or assistants until you confirm all of your expenses have hit the account
August – October	If needed, post-course meeting with faculty and SP staff 1. SP Finance prepares Revenue Report and sends to faculty no later than 45 days after the course ends 2. After receiving the Revenue Report, the Faculty Director instructs SP Finance how to disburse any remaining balance. All compensation must be in compliance with the MIT Supplemental Compensation Guidelines 3. If you choose to receive compensation via a discretionary transfer, please complete the SP Course Discretionary Transfer Statement
September	Participant feedback emailed to faculty
October 15	If SP has not received disbursement requests from the Faculty Director by October 15th, then SP will process Supplemental Salary payments or discretionary transfers based on the information in the course schedule to exhaust the balance.
November 30	Accounts will be suspended no later than November 30th each year.

APPENDIX I: MIT SUPPLEMENTAL COMPENSATION GUIDELINES

SoE Prologue to the Supplemental Compensation Guidelines

Approval to pay supplemental compensation hinges on **three things**.

First, the activity must be one that is considered appropriate for supplemental compensation. Such activities are listed in Section I of the supplemental compensation guidelines.

Second, the individual undertaking the activity must be approved for supplemental compensation. This is described in Section II of the guidelines.

Third, the unit seeking to pay for the activity must be granted permission to pay supplemental compensation. The Professional Education Program in the School of Engineering and the Sloan School's Executive Education Program have blanket approval to pay supplemental compensation, provided they adhere to the guidelines. Certain international initiatives, e.g.
SUTD and Skoltech, are also permitted to pay supplemental compensation, provided they adhere to the guidelines, and do not have to seek approval each time they wish to pay supplemental comp. A list of the programs that not named in the supplemental comp guidelines but *have* approval to pay supplemental compensation appears below.

Only the Provost can grant a unit permission to pay supplemental compensation, whether the unit seeks to pay supplemental compensation on a one-time basis or on an ongoing basis.

In the absence of prior approval (of the activity, the individual and unit), requests for approval to pay supplemental compensation should be sent by the unit seeking to pay the supplemental compensation to that unit's senior officer. If the request is for one-time approval and the individual to whom the unit seeks to pay supplemental compensation is from a different area, that other area's senior officer must be consulted. If the senior officer(s) endorses the request, it should be forwarded to the Provost's Office for final approval.

Programs Pre-Approved to Pay Supplemental Compensation using the Supplemental Comp Guidelines
(Other than the programs already listed in the Supplemental Compensation Guidelines)

CTL's international initiatives with Zaragoza, Colombia and Malaysia as well as several an executive ed course entitled, "Supply Chain Management: Driving Strategic Advantage".

Master of Transportation in Logistics (Supply Chain Management)

NSE's executive ed courses in Reactor Technology, Nuclear Operations Risk Management and its Emerit Nuclear Education Course (currently defunct). Currently seeking permission to pay supplemental compensation for new course designed for the leaders responsible for building new nuclear energy programs around the world.

CTL - Zaragoza

MIT Portugal Program

Skoltech

SUTD

MITx

KFUPM

MIT/MITEI China Low Carbon Energy Leaders Program (May 2015)

CTL – Luxembourg

CTL - China

February 3, 2016

MIT Compensation Guidelines for Special Activities and Programs
Effective July 2012

I. Special activities and programs for which MIT faculty members and other eligible individuals at MIT may receive supplemental compensation (and that must be reported as compensated activity on the Outside Professional Activities form).

Teaching and associated activities (as defined later in this document) in:

- Executive/professional education programs that have been approved by the Provost;
- Special courses offered under the auspices of the Sloan Executive Education program and the Professional Education program in the School of Engineering;
- Auxiliary programs in support of degree education (language workshops, etc.). (Normally, these are activities that are externally funded, and/or that occur during the summer months.);
- in the summer for the Sloan Fellows, Leaders for Global Operations, System Design and Management, and Masters in Finance;
- the SDM certificate program (other than teaching in for-credit subjects) during IAP; and
- the Sloan Executive MBA Program during the academic year and summer terms

Teaching, hosting fellows, institution building and associated activities (as defined later in this document) in international initiatives that have been granted explicit approval by the Provost to pay supplemental compensation;

Other initiatives approved by the Provost and, in limited circumstances, strategic developmental activities pre-approved by the Dean of the School;

Contributions to Technology Review (i.e., writing print or on-line stories);

Re-use of Digitized Materials

For programs approved for supplemental compensation by the Dean or Provost, as described in this document, the academic dean or dean's designee may establish the procedure for the review of supplemental compensation requests.

For programs and activities not already approved by the Provost, approval for supplemental compensation by the Provost must be obtained in advance of the work to be performed.

MIT faculty members and staff members may not receive supplemental compensation for teaching and related activities conducted during the academic year in MIT degree programs, except for the Sloan Executive MBA Program.

Supplemental compensation is not available for research activities.

II. **The following appointees are eligible for supplemental compensation, assuming the activity has been approved for supplemental compensation and provided the number of days of compensation (or activity) is within Institute guidelines regarding consulting privileges:**

- Faculty
- Adjunct Professors, Associate Adjunct Professors, Professors of the Practice and Associate Professors of the Practice
- Senior Research Associates/Scientists/Engineers
- Senior Lecturers
- Principal Research Associates/Scientists/Engineers

No one may approve his or her own supplemental compensation. Individuals may not authorize themselves or members of their family to undertake activities that will provide them with supplemental compensation. When a unit responsible for a program or activity works to engage the services of an individual outside that unit's school, the unit should seek approval in advance of the activity from the individual's department head, center or lab director, or academic dean, or senior officer. Supplemental compensation for an academic dean must be approved in advance of the activity by the Provost.

Staff who may otherwise not have consulting privileges may receive supplemental compensation for participation in programs if their full-time equivalent appointment is less than 100%. In such cases, such individuals are eligible to receive one day per week of compensation for each 20% full-time equivalent reduced level of appointment (for example, an appointment of 80% would provide for one day per week of supplemental compensation, an appointment of 60% would provide for two days per week of supplemental compensation.)

On an exception basis, non-research staff with full-time appointments may be eligible for supplemental compensation related to their participation in the above noted programs only if they have obtained special approval in advance of the activity from the relevant department head and academic dean.

III. Rates of compensation

The rates described in this document represent maximum rates of compensation. By agreement with the faculty members involved, lower rates may be used. In unusual circumstances, the relevant academic dean, with approval from the Provost, may establish alternative compensation arrangements, e.g. an administrative supplement.

The policies are also applicable for individuals performing such work who do not hold an MIT appointment; exceptions to such arrangements must be approved in advance of the work by the Dean.

In addition to the requirements for advance approval described above or included in the footnotes to the tables that follow, if any program or activity is likely to entail paying any individual more than $46,000 in supplemental compensation per engagement, it must be approved in advance of the activity by the dean of the school in which the faculty member holds his or her primary appointment.

- **MIT non-degree executive/professional education programs:**
  Normally, supplemental compensation for teaching, (program) faculty directing, program development, curriculum development, case writing, project mentoring and coaching will follow the guidelines presented below. Teaching sessions are normally 90 minutes each. Teaching rates include any time required for routine preparation of content and materials for the Teaching Sessions.

Teaching Rate per Session (normally four sessions/day)	Domestic non-degree executive programs (hosted in US and Canada): up to $2,300/session. *, ** International non-degree executive programs (hosted outside the US or Canada): up to $3,000/session*, ** *For two-day Sloan programs, additional compensation of $300 per incremental participant above 80 may normally be added per course ** An exception up to 10% may be considered when justified on a market-adjustment basis, by the academic dean or the dean's designee
Faculty Director Fee[1]	Normally up to $1,500/day* * varies depending on level of effort, and involvement in program delivery
Program Development, Curriculum Development, Case Writing, and Attending another faculty's session	With prior approval by the academic dean or dean's designee, up to $6,000 per eight hours
Coaching Fee[2]	Normally, up to $500/ Session
Project Mentoring	Up to $750 per 90-minute session, normally up to $3,000 per project team

[1]The normal Faculty Director (FD) fee of $1,500/day covers recruitment of faculty, coordination of sessions, and participation in introduction and closing sessions; the fee may be higher if the FD is more actively involved in program administration and delivery. Any FD fee above $3,000/day must be approved by the Dean in advance and reviewed by the Provost annually. FD fees may only be paid when a program involves two or more faculty. Faculty Directors may receive daily FD fees in addition to teaching fees, even if the total compensation per day exceeds $9200.

[2] Coaching is typically performed by non-MIT faculty. It typically is for individuals or teams, and may be conducted in person or remotely. Example 1: In the MIT Sloan Open Enrollment "Entrepreneurship Development Program" entrepreneurs are engaged to coach teams preparing for their final business plan presentations. Example 2: Leadership development coaching based on the Sloan Leadership Model for students in the MBA and Sloan Fellows Programs conducted by Senior Lecturers and consultants.

In exceptional cases, it may be possible to receive compensation for course-related activities other than those noted above provided the activities proposed for supplemental compensation on an exception basis are part of an existing collaboration (that is, a signed partnership or collaboration agreement). All such payments must be approved in advance of the work by the Provost.

- **International Initiatives**
  When the Provost approves the payment of supplemental compensation for an international activity, the rates of payment for participation in an international program (excluding MIT non-degree international executive education programs as outlined above) are shown in the table below. There will be no supplemental compensation for travel days.

  In exceptional cases, it may be possible to receive compensation for course-related activities and other related international activities other than those noted below provided the activities proposed for supplemental compensation on an exception basis are part of an existing collaboration (that is, a signed partnership or collaboration agreement). All such payments must be approved in advance of the work by the Provost.

Teaching Rate per session (normally four sessions per day), to include all routine preparation	International non-MIT degree programs: up to $2,300/session
Program and Curriculum Development and Case Writing	Normally, up to $6,000/day with prior approval by the academic dean or dean's designee
Institution building [3] (including faculty development, curriculum sharing, seminars, advisory activities)	$3,000 per day
International faculty fellow (IFF) and Visiting Fellow hosting [4]	Up to $5,000 per IFF per term

- **Degree Program teaching during the summer: Sloan Fellows, LGO, SDM and Masters in Finance; and degree teaching during the academic year and summer for Executive MBA**

Individuals teaching during the summer for the Sloan Fellows, LGO, SDM, and Masters in Finance program may be paid from $1,000 up to $2,300 per teaching session (this rate may be adjusted on a year-to-year basis with the approval of the Provost), or as part of the regular teaching load. There are normally four teaching sessions per day.

Individuals teaching during the academic year and summer for the Executive MBA degree program may be paid up to $2,300 per teaching session. There are normally four teaching sessions per day.

This rate for teaching in Sloan programs will include routine preparation of content and materials. An exception up to 10% may be considered when justified on a market-adjustment basis, by the Deputy Dean for Faculty.

In exceptional cases, it may be possible to receive compensation for course-related activities other than teaching (e.g., program directorship, module directorship, entirely new curriculum development, attending other classes for coordination) at the rate of up to $6,000 per day. All such payments must be approved in advance of the work by the academic dean or dean's designee.

Project mentoring and coaching may be paid up to $750 per 90-minute session, up to $3,000 per team.

IV. Payment of Supplemental Compensation is arranged as follows:

When one MIT department or program seeks the engagement of an individual from another MIT department or program, approval for supplemental compensation is customarily obtained from the individual's home department before the work is performed, except in the case of SoE faculty teaching in PE.

After the unit for which the work is to be done has obtained prior approval for supplemental compensation from the individual's home department, as needed, the unit for which the work is done should initiate the payment through the individual's department.

Requests for supplemental compensation for activities other than teaching must include an invoice or equivalent document detailing the terms of engagement, and the nature of the work performed.

No incremental benefits are paid in connection with supplemental compensation.

V. Reporting of Compensation

Those who receive supplemental compensation must report it as compensated activity in their annual report of outside professional activities.

Days of outside professional activity will normally be computed based on sessions / four or total compensation /$6,000; or when other rates are used, the proration for OPA days for this effort will be computed on the basis of the rate per session times four (for example, if the agreed upon rate is $2,300 per 90-minute session, then OPA days will be computed as total compensation divided by $9,200). Another algorithm may be used, with the approval of the relevant academic dean and the Provost.

VI. Compensation for re-use of Digitized Materials

We recognize the growing opportunities afforded to our non-degree executive/professional education and international activities by leveraging our investment in the preparation of educational materials through the production of digitized products. Payments will be made as royalties for re-utilization of such digitized educational materials as covered in the document "Sharing of Revenues from Educational Materials Used in Professional/Executive Educational Activities" dated June 2005 and appended to this document.

Sharing of Revenues from Educational Materials Used in Professional/Executive Educational Activities

Dick K.P. Yue, Donald R. Lessard, Steven D. Eppinger
School of Engineering, Sloan School of Management

June 2005 (revision 2.5b)

EXECUTIVE SUMMARY

Purpose

Professional/executive education furthers MIT's overall educational mission "to contribute to society through excellence in education, research and public service." It showcases our excellence and leadership in research and education, impacts professional practice, and fulfils our mandate to provide lifelong learning opportunities to alumni and other professionals. It also provides important feedback regarding the quality and relevance of our education and research activities, and it facilitates the integration of industry knowledge into MIT teaching and research.

The purpose of this document is to outline the policy for sharing of revenue from reusable educational materials in non-credit professional/executive educational activities. This policy will form the basis for explicit voluntary agreements between the faculty (who provide the content) and MIT (the Institute, the School/Department, and the business unit that develops and delivers the content). The objective is that the development of a clear, rational, and uniformly applied policy will help promote these activities and the productive participation and collaboration of all involved.

Scope

This document proposes a model for sharing of revenue from the use and/or reuse of (primarily digitized) educational materials in MIT's professional/executive educational activities. These activities are non-credit offerings that involve significant use of MIT resources and/or name and/or ongoing involvement of MIT in their development and use. Such activities are generally not part of the faculty's normal teaching duties, and the time directly spent by the faculty in these activities is typically compensated in the form of supplemental compensation as part of their outside professional activities. The policy proposed here considers the sharing of revenue derived from the value added to professional/executive educational offerings that involve the use/reuse of educational materials.[1] The present policy complements the existing supplemental compensation guidelines for direct faculty time, and these together are subject to MIT's conflict of interest and commitment stipulations already in place.

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[1] Excluded from this are materials that are already openly/freely available, such as OCW, or whose IP does not belong to the faculty.

Recommendation

The School of Engineering and Sloan School of Management recommend a simple Institute-wide revenue sharing policy that will apply uniformly across MIT, and across programs/activities that exploit reusable educational material in various forms. The policy provides the necessary incentives for the business unit to operate as an enterprise with objectives in terms of program growth, efficiency, and cost management that are aligned with the Institute, the School/Department, and the faculty, in a transparent way.

The key aspects of the proposed policy are:

1. For each program or activity involving reusable educational materials, a determination will be made up front of the attributed value[2] of those materials as a fraction of total revenue of the offering.

2. A standard share (30%)[3] of the attributed value will be set aside for revenue sharing.

3. This revenue sharing/royalty pool[4] will be distributed through the TLO to the faculty, the School/Department, and to MIT, according to the time honored 1/3-1/3-1/3 rule. Where multiple faculty or multiple schools/departments are involved in the creation of the materials, the respective 1/3 shares are to be distributed in a proportionate or mutually agreed manner.

We emphasize again the voluntary nature of the agreements between the faculty and MIT for which the present policy forms a basis.

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[2] Appendix II describes how this value is determined.
[3] This percentage is to be reviewed periodically by the Provost and adjusted accordingly.
[4] Less a fee to TLO of 5% of the pool.

Schematic of the proposed policy for sharing of revenue from educational materials.
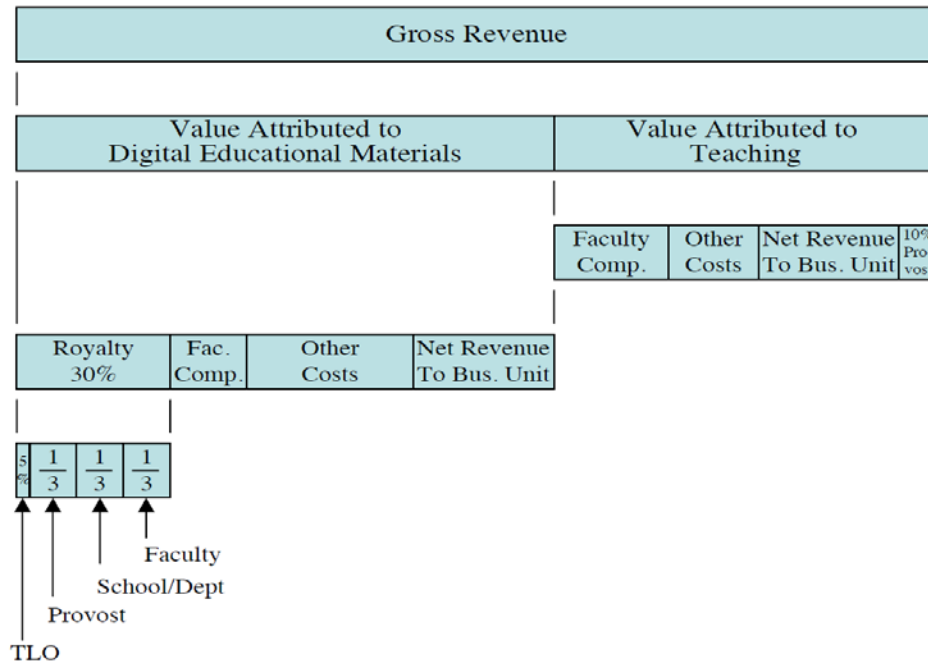
APPENDIX I: TYPES OF PROFESSIONAL/EXECUTIVE EDUCATIONAL ACTIVITIES

Professional/executive educational activities by faculty that are not part of their normal teaching duties[5] fall into several broad categories in terms of their implications for IP and revenue sharing:

I. MIT non-credit offerings
  - Significant use of MIT resources
  - Significant use of MIT name
  - Ongoing involvement of MIT (in development, marketing, etc)
  - Typically compensated in the form of supplemental compensation with time counted as part of faculty outside professional activities

II. Faculty offerings not directly related to MIT
  - No significant use of MIT resources
  - No significant use of MIT name
  - Part of faculty outside professional activities
  - Institute and School policies regarding conflict of commitment (still) apply[6]

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[5] We do not consider MIT credit courses offered on campus or on-line since these are normally "on-load"/internal activities, although supplemental compensation may be paid for these activities during, for example, the summer term.

III. "Traditional" textbooks by faculty

IV. Major MIT programs operating under special MIT arrangements and approvals, e.g., SMA, and other large custom education programs that are treated as part of the normal teaching load.

Each of these categories has its own guidelines and requirements/process for approval.

The subject of this memo is the principles and policies for sharing of revenue from the use and/or reuse of educational materials[7] developed and/or used under category I above.

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[6] In addition to the Institute's Conflict of Interest/Commitment regulations, individual Schools may have their own supplementary rules and regulations regarding these conflicts.
[7] These commonly include video taped lectures, and multi-media presentations and educational tools, but also include educational materials such as tests, problem sets, workbooks or other print material not considered to be textbooks.

APPENDIX II: ATTRIBUTED VALUE AND ROYALTY DISTRIBUTION

The royalty distribution for digitized materials is calculated based on the value attributed to these materials. Attributed value can be equal to, or less than the gross revenues, depending on the type of program or offering.

Value attributed to educational materials

The value attributed to digital educational materials will be determined as follows:

1. If educational materials are sold on a stand-alone basis (a "pure sale"), assessment of their market value as a basis for revenue sharing is straightforward: it is simply the gross revenue.[8]

2. In the case of blended programs (see Appendix III) where reusable materials are combined with face-to-face teaching and possibly online discussion groups and other third-party involvement and materials, and the value is included in the overall value of the program, the business units will establish the value attributed to the educational materials up front based on arms-length assessment of market value of comparable direct sales or offerings, typically on a per unit basis and/or the centrality of the reusable material to the core course content.

Royalty distribution

The 30% royalty distribution is to be shared among the faculty, School/department, and the Institute according to the time-honored 1/3-1/3-1/3 (faculty-school-institute) rule.

In the case of an offering that involves reusable educational materials created by multiple faculty members, an equitable revenue sharing model must take into account the portion of the offering that should be attributed to each faculty up front. In most cases, this can be established in an objective and mutually acceptable way.

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[8] Defined as actual dollar revenues received by MIT (e.g., when a discount is applied, the discounted price is the gross revenue; or in the case where the business unit chooses to enter into a distribution agreement with an external organization, gross revenues are revenues returned to MIT under that agreement).

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APPENDIX III: KEY DISTINCTIONS RELATED TO THE SHARING OF REVENUE FROM EDUCATIONAL MATERIALS

In developing a revenue sharing model for the use/reuse of educational materials a number of key issues were addressed. The following distinctions inform this policy:

A. Blended programs vs. programs involving only reusable materials

- Professional/executive education programs may involve a combination of face-to-face teaching, educational materials which might be reusable, as well as third party elements (e.g. facilitation, coaching, moderating of on-line learning, etc). The compensation to faculty for face-to-face activity and curriculum development is currently covered by supplemental compensation guidelines, but there are now no established compensation guidelines regarding the reusable materials.

- A compensation scheme must be able to accommodate the full spectrum of combinations, ranging from the traditional 100% face to face teaching to an essentially revenue sharing publication mode, taking into account possible third party inputs as well. Given that MIT already has an "input-based" compensation scheme in place for contemporaneous activities (supplemental compensation for face-to-face sessions, curriculum development, and program directorship), we propose to retain it for that component. The issue at hand is to devise a (separate) revenue sharing scheme for the reuse of educational materials that is desirable and workable in terms of fairness, incentives, simplicity, and broad applicability.

- The value attributed to the educational materials reflects the risk, development costs, and indirect costs of the business unit, allowing it to generate a reasonable net surplus on average over time. It must be in line with normal commercial terms that faculty might encounter if they exploit their educational IP outside of MIT (subject to conflict of commitment provisions).

Cost Recovery

- Under this scheme, development costs are recovered through the residual going to the MIT business unit, an "indirect recovery model".[9] A key advantage of the indirect recovery model with regard to development costs is its simplicity. Development costs do not need to be carried forward for each product, and complex allocations of joint costs can be avoided. Another advantage is that it provides strong incentives to the business unit to control

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[9] The business unit should be distinguished from a production or development unit such as AMPs that may perform services on a cost (plus) basis. The business unit sets product and marketing strategy and provides the risk capital for specific products or programs.

development costs and eliminates the ability of the business unit to "pad" these costs with unrelated/unnecessary expenditures, thus removing a major source of friction with faculty and, consequently, reducing the demand for information by the faculty as well.

Enterprise model for the (MIT) business unit

- The revenue sharing model should help provide the proper incentives to the MIT business unit(s) (e.g. SoE's Office of Professional Education Programs, SSM's Office of Executive Education) that works with the faculty to develop/market these materials, as well as the faculty, towards efficiencies, effectiveness, quality and competitive best practices. In this regard, an "enterprise" model is preferred over traditional cost-plus or need-based budget models that apply to many core MIT functions. By enterprise model, we refer to the situation where the business unit receives revenues, covers costs, and returns the residual contribution (with appropriate sharing with the Institute and faculty) rather than receiving some markup on its costs.

Fiscal treatment of revenue sharing from educational IP

Revenue sharing from educational IP must be segregated from regular and supplemental compensation for faculty tax purposes and from Institute educational and research activities for reasons of tax and sponsored research base management.

- It should go to faculty as 1099 income and should be treated as income from educational IP by MIT. This suggests taking the "distribution" off the top of any external engagement and channeling it through the TLO, which in turn would distribute the 1/3's to faculty member, school/department, and Institute. Since the Institute would be receiving a 1/3 share in such cases, the receipts by the Schools under this structure would not be subject to a further sharing with the Institute. This also requires that the amount to be distributed can be calculated "up front" and not be subject to ex post adjustments.
- It is our understanding that the TLO would be willing to process such distributions for a fee of 5% of the distribution value.

APPENDIX II: SAMPLE COURSE SCHEDULES

MIT | PROFESSIONAL EDUCATION
Short Programs

CONTROLLED RELEASE TECHNOLOGY:
POLYMERIC DELIVERY SYSTEMS FOR PHARMACEUTICALS, PROTEINS, AND OTHER AGENTS [10.02S]
July 8-12, 2013

Monday July 8th	8:45 am – 10:00 am		Advances in controlled release technology overview	R. Langer
	10:00 am - 10:30 am		*Coffee Break*	
	10:30 am – 12:00 pm		Fundamentals of polymer science	N. Peppas
	12:00 pm – 1:15 pm		Networking Lunch	
	1:15 pm – 2:45 pm		Diffusion in polymers and applications in the development of controlled release systems	N. Peppas
	2:45 pm – 3:15 pm		*Coffee Break*	
	3:15 pm - 4:45 pm		Matrix systems	R. Langer
Tuesday July 9th	8:15 am - 9:45 am		Solvent-activated controlled release systems	N. Peppas
	9:45 am - 10:15 am		*Coffee Break*	
	10:15 am – 11:45 am		Mucoadhesive and bioadhesive release systems	N. Peppas
	11:45 am - 1:15 pm		Lunch Break (on your own)	
	1:15 pm – 2:45 pm		Nanotechnology and drug delivery: Ideas for future research and products	N. Peppas
	2:45 pm -3:15 pm		*Coffee Break*	
	3:15 pm -5:00 pm		Factors that control micro/nanoparticulate parenteral drug delivery	F. Szoka
Wednesday July 10th	8:15 am - 9:45 am		Nucleic acid therapy	F. Szoka
	9:45 am - 10:15 am		*Coffee Break*	
	10:15 am -11:45 am		Consumer applications of controlled release	N. Peppas
	11:45 am -1:15 pm		Lunch (on your own)	
	1:15 pm -2:45 pm		Liposomes: From a model biomembrane to a targeted drug carrier	F. Szoka
	2:45 pm - 3:15 pm		*Coffee Break*	
	3:15 pm -5:45 pm		Lab demonstrations by Dr. Langer's research group	
Thursday July 11th	8:15 am – 10:15 am		Pharmaceutical protein stability	A. Klibanov
	10:15 am - 10:45 am		*Coffee Break*	
	10:45 am- 12:15 pm		Patents	R. Langer
	12:15 pm- 2:00 pm		Lunch Break (on your own)	
	2:00 pm-3:30 pm		Externally regulated systems; Regulatory considerations	R. Langer
Friday July 12th	8:15 am -9:45 am		Implants, aerosols, inserts, brain delivery and oral delivery	R. Langer
	9:45 am -10:15 am		*Coffee Break*	
	10:15 am -11:45 am		Transdermal systems	R. Langer
			DISMISSED	

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MIT | **PROFESSIONAL EDUCATION**
Short Programs

Downstream Processing
August 5-9, 2013

Monday August 5, 2013		Tuesday August 6, 2013		Wednesday August 7, 2013		Thursday August 8, 2013		Friday August 9, 2013	
9:00-9:30 9:30-10:30	Introduction Cooney Process Design: First Steps Builder	9:00-10:30	Filtration Fundamentals Cooney	9:00-10:30	Chromatography Builder	9:00-10:30	Chromatography Builder	9:00-10:00	TeamDesign Project Hamel
10:30-11:00	**BREAK**	10:30-11:00	**BREAK**	10:30-11:00	**BREAK**	10:30-11:00	**BREAK**	10:00-10:15	**BREAK**
11:00-12:00 12-12:30	Cell Disruption Wang Team Design Project Hamel (14)	11:00-12:30	Chromatography Builder	11:00-12:30	Team Design Project Hamel	11:00-12:30	Quality: Beyond Pass or Fail Baffi	10:15-12:00	Team Design Project Hamel
12:30-1:30	**LUNCH**	12:30-1:30	**LUNCH**	12:30-1:30	**LUNCH**	12:30-1:30	**LUNCH**	12:00	**COURSE ENDS**
1:30–3:00	Biochemical Processing: Overview Cooney	1:30-3:00	Centrifugation Cooney	1:30-3:00	MAB Case Study Cooney (9)	1:30-3:00	Filtration Application Builder (13)		
3:00-3:30	**BREAK**	3:00-3:30	**BREAK**	3:00-3:30	**BREAK**	3:00-3:30	**BREAK**		
3:30-5:00	Extraction Case Study Builder	3:30-5:00	Process Economics Cooney	3:30-5:00	Process Validation Godavarti	3:30-5:00	Quality by Design Godavarti		
6:00pm 8:00pm	**Reception**	**Free Evening**		**Free Evening**		6:30pm 9:00pm	**Reception/Dinner**		

Shortprograms.mit.edu

Appendix III, Reviewing Registrations

HOBSONS

An Introduction to Radius

Our registrations and payments go through a CRM system called Radius, from Hobsons. We provide each course with an account so that faculty and assistants can check registrations and course revenues in real-time. You log in at https://mitpe.hobsonsradius.com.

> Radius works in Chrome, Firefox 19 or above, Safari, or IE 8 or above.

When you first log in, you will see:
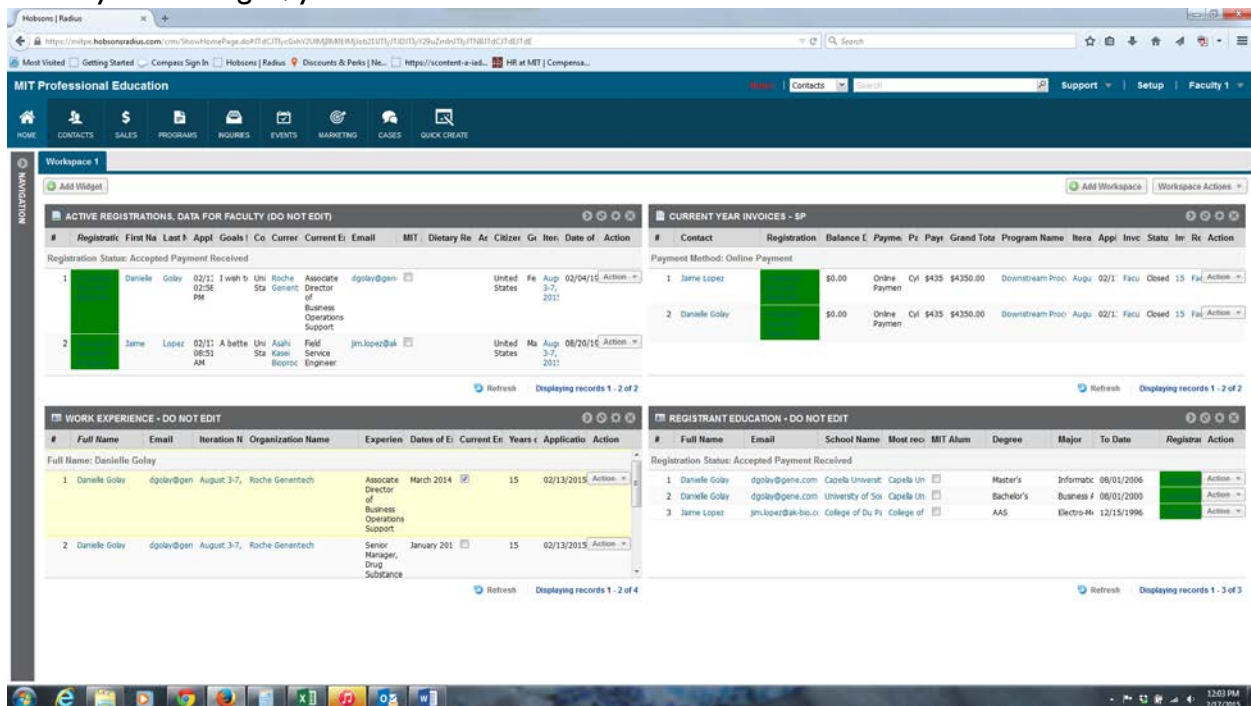
This is your home page and these boxes are widgets showing you various Views in the system. We've pre-populated with a few that show your registrants and the people and organizations that have interacted with the registration form for your course. You should see Registrations for only your course, although you may see Contacts (people) who have not submitted a registration form. The upper right corner of each widget gives you options for expanding or jumping into the View displayed, where you can interact in more detail.

> Views are shared among **all** users. If you make a change, it will affect **all** of us. Brief sorting is ok, but please revert back to the original View when finished. We recommend exporting Views in .csv format to manipulate them or add formulas (such as for estimating revenue). If you need to see additional columns or find yourself consistently sorting, please contact us for assistance creating additional Views or alternate methods to view your data.

There is a tool bar on each side of the screen (minimized in the screenshot above). The left side allows you to return to any of your 15 most recent records. The right side gives you specific task options based on the type of record you're viewing.

> If you are seeing blank Views, particularly in Invoices, please contact us. Faculty access depends on the system assigning data to a user profile, and various situations can affect the data assignments.

To see a list of registrants for your course, with associated registration statuses, go to Registrations. This Module controls the items immediately associated with a Registration (registration status, invoice amount, reasons for attending this course, how they found out about this course).

Contact Records contain more general information that is connected to a person but not specifically tied to a Registration (name, address, citizenship).

Most items in a View are hyperlinked to that direct record. For example, clicking on a registration status will bring you into the Registration record. Clicking on a person's name will bring you into the Contact record.

To see a contact's submitted registration form, go into their Registration record (either by clicking their status in a list view or clicking on the Registrations tab in their Contact record and selecting the record manually). There will be a tab at the top of the record for Submitted Application Form that allows you to print a pdf of the form they submitted.

To estimate your revenue, export the Current Year Invoices View as a .csv file and add a formula to the column you want to total. Please note that participants may be listed more than once if they paid in multiple transactions, so you will need to remove any duplicates.

Radius Glossary

Action: Located at the top right of each View, A drop down menu that gives options like printing the selected registrations from the list view or sending emails to selected contacts.

Contact: A person within the system. Contacts can be accessed via the widget installed on the home page or via the top-level icons. The Contacts icon is the second one from the left and it has a drop-down menu that includes Contacts (which will bring you directly into the Contacts module and associated List Views) and Organizations (which will bring you directly into the Organizations module and associated List Views).

Contact Address: This is the address designated by the contact as his/her primary address. We use it on the acceptance letter, invoice, receipt, and roster.

Educations: This module captures information about the education background of registrants, including institutions, degrees, and years of attendance. There is no Education screen, so you must view it either via the Contacts List Views (current view name: Course Applicants – do not edit) or from an individual record, via the tabs at the top of the record.

Experiences: Provides information about work/internship experience and the titles/positions held by the applicants and years associated with each experience.

Filter: Filters can be found on the hidden drop-down boxes to the right of the columns in a view. A popular filter SP uses is registration status (accepted vs. payment received).

Invoices: This Module keeps all billing information. Faculty can track expected revenues, discounts, and payments in Invoices. All participants are sent an invoice at the time their application is processed.

Iteration: An iteration is a particular offering of a course (Program). Registrations and Invoices are associated with iterations and you can use the Iteration Name to sort data in those modules. This Module is primarily administrative, allowing us to set up application forms, invoices, and mail merges for things like certificates. Each iteration includes the name of the course director and instructors, pricing information (including associated discounts), and CEUs.

Iteration name: Iteration names are simply the dates of the course (ex: June 10-14, 2013). Earlier iteration names may also include price and duration. Clicking an iteration name in Radius takes you to that iteration and allows you to access related information, but the iteration page itself is just administrative information. Information from Modules such as Invoices and Registrations are associated with Iterations, so you can sort Views in those Modules by fields such as iteration name.

Module: Data is associated with different Modules. The Modules of most interest to faculty will be Contacts, Registrations, Invoices, Educations, and Experiences.

Programs: A list of the courses within the system.

Registration Status: The indicator of the current stage of an application. Status options include but are not limited to the following: Applied; Accepted; Accepted Payment Received; Payment Received, Review Required; Application under Review; Rejected; Scholarship Pending; Guest Audit. The statuses are color-coded to aid our team in recognizing where action is needed.

Registrations: This module stores all submitted applications. You can use the List Views to see your current or historical enrollment.

Search: The top right search window searches the entire database. Be sure to mark the Module dropdown to its left – it defaults to Contacts. There is also a second search window specific to each List View. Only data related to visible fields within the current list is searchable.

View: Settings that allow a user to limit or define the information that they see at any given time, based on the associated Modules. Views can be filtered or sorted by any of the visible columns and can also be exported to .xls, .csv, or .pdf to manipulate them further. Please revert back to the original View after any edits or contact SP if you'll need to be using a custom configuration often.

Widgets: The mini-screens on your homepage are Widgets, which are smaller versions of the list views in various modules. They can expand across the whole width of your homepage, contract so you have two side-by-side on the homepage, or be expanded across the whole screen. To add widgets to your homepage, you can use the Add Widget tool at the top left of the homepage. You will have to select a Module and a Custom View. If you cannot find a Widget or View showing the information you need, please contact SP for assistance.

Definitions of Registration Levels/Statuses

Accepted: The registrant has been approved but has not yet paid. Registrants typically have two weeks under this status, but it may be extended for various reasons.

Accepted Payment Pending: The registrant has been in touch with us about payment and may have mailed a check, issued a wire, be in the midst of installments, or have been granted an extension of less than two weeks.

Accepted Payment Received: The applicant is paid in full.

Application in Progress: Someone has begun to fill out an application for the course but has not yet submitted the completed form. Their application is saved and we are in periodic communication with them.

Application Under Review: This status means that the application is awaiting approval. This status is used if there are questions about the applicant and we are reviewing the application internally and/or requesting more information from the applicant, or if the application has been sent to a Professor for review.

Cancellation Pending: A request has been made by the registrant to cancel his/her registration but is waiting for the SP staff to process the cancellation.

Cancelled Applied in Error: The applicant did not mean to sign up for this particular course. This is most often used when someone doesn't understand what he/she has signed up for, such as ILP members thinking these are free ILP courses or someone submitting an application for the wrong course.

Cancelled by MIT: After the registrant was accepted into a course, the SP staff made the decision to remove him/her from the course. This status typically means the registrant did not pay or was unresponsive for several weeks.

Cancelled by Participant: The registrant chose not to take the course for which he/she had registered. This status is used when the registrant is unable to take the course or actively decided to remove him/herself from the course.

Extension: The registrant has an approved payment date more than 2 weeks from the registration date.

Installment Plan: The registrant is paying in multiple installments. Note that this will cause the Invoices view to display the registrant and his full balance due multiple times, so please be aware of this when using that view to calculate your expected revenue.

Guest Audit: The registrant is taking the course at low or no cost. There is a $100-$250 cost for Guest Audits which may be paid by the faculty or passed on to the registrant.

Installment Plan: SP has approved an installment plan for the registrant. Installment plans will result in multiple listings on your Invoices view, one for each installment payment. Please make sure to take that into account when reviewing your registrations and revenue.

Payment Received, Review Required: The registrant has submitted payment and is waiting on processing from the SP staff. Registrants under this status may or may not have been accepted yet.

Rejected: After review of the application, our office and/or the Professor decided not to accept the applicant. This happens when the registrant is not qualified for the course, has provided no information on which to evaluate his/her fit (and did not respond to multiple follow-ups by SP staff), or has goals that do not match the course curriculum.

Scholarship Pending: A scholarship request has been made by the registrant and is awaiting approval or rejection from the Professor in charge of the course.

TAP: The registrant will be using MIT Tuition Assistance funds to pay for the course. These payments occur after the course is over.

Transferred Out: The applicant has either applied for the wrong course and so was transferred to the correct one, or the applicant has decided to switch his/her enrollment to a different course.

Wait List: For courses with an enrollment cap, we can create a waiting list after the course has reached capacity. Any subsequent registrant will receive notification about the waiting list and a status of Wait List.

Please contact the SP office if there are questions about a registrant or a particular status: *shortprograms@mit.edu* or 617-253-2101.

APPENDIX IV-a: SAMPLE REQUISITION (External Vendors)

(Need new screen shot coupa home page

APPENDIX IV-b: SAMPLE REQUISITION (Internal Vendors)
(Need new screen shot coupa home page)

APPENDIX V: SUPPLIER REGISTRATION FORMS

http://vpf.mit.edu/site/sourcing_procurement/forms_and_templates

Domestic (U.S.) Supplier Registration VPF

ATTENTION SUPPLIERS: Complete all eight sections of this form and return the completed form to the MIT person who provided this form to you. Your payment may be delayed until MIT receives this completed form. **Please also submit Form W-9 (Request for Taxpayer Identification Number and Certification).** Please contact Procurement (procurement@mit.edu, 617-253-7241) with questions about how to complete this form.

Basic Identifying Information

1. Name (Individual or Business): _____

2. Address

	Number and Street:	_____	City:	_____
	State/Region:	_____	Zip Code:	_____

3. Contact Information:

	Telephone Number:	_____	Email Address:	_____
	Fax Number:	_____	URL:	_____

4. Contact Name (if different from above) _____

5. Dun & Bradstreet Number: _____   NAICS Code: _____

6. What is your business size? *(Select one)*

☐ **SMALL:** "Small business concern" means a concern, including its affiliates that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria and size standards in 13 CFR part 121 (see 19.102).

☐ **LARGE:** A large business is any business that does not meet the criteria for small businesses.

7. What is your business classification per the Federal Acquisition Regulations, Part 2.101 or Part 19? (Select all that apply)

☐ **Small Disadvantaged**   ☐ HUBZone
☐ **Women-Owned**   ☐ Disabled-Owned
☐ **Veteran-Owned**   ☐ Service-Disabled Veteran-Owned
☐ **Alaska Native Corporation or Indian Tribe that is not a small business.**   ☐ Alaska Native Corporation or Indian Tribe: Not certified by the Small Business Administration as disadvantaged
☐ **Historically-Black College or Minority Institution**

Additional Classifications:

☐ **Non-Profit**: Any business or organization that has received non-profit status under IRS Regulation 501(c)(3).   ☐ Public Sector: An agency of the Federal or a State Government, or a municipality

☐ **Minority Business Enterprise**

8. I certify that to the best of my knowledge and belief the information on this form is correct as of the date hereof and that, if any information on this form ceases to be correct, I will submit a replacement domestic supplier registration form to MIT (procurement@mit.edu) promptly.

Supplier signature_____   Date_____

MIT Company Code (Internal Use): _____

June 2015

International Supplier Registration

ATTENTION SUPPLIERS: Complete all eight sections of this form and return the completed form to the MIT person who provided this form to you. Please note your payment may be delayed until MIT receives this completed form. Please contact Procurement (procurement@mit.edu, 617-253-7241) with questions about how to complete this form.

Basic Identifying Information

1. Name (Individual or Business) _____
2. Address
   Number and Street: _____   City: _____
   State/Region: _____   Postal Code: _____
   Country: _____
3. Contact Information:
   Telephone Number: _____   Email Address: _____
   Fax Number: _____   URL: _____
4. Contact Name (if different from above): _____

Please respond to the following important questions:

5. What is your country of citizenship, incorporation, or formation? _____

6. What is your country of residence for tax reporting purposes? _____

7. What will you be supplying to MIT? (mark all that apply)

   A. Good: Please describe the good _____
   B. Service: Please describe the service _____
      AND the location(s) where services will be performed (select one):
      ☐ i. Entirely within the US   ☐ ii. Entirely outside the US   ☐ iii. Inside and Outside US
      Identify location _____
   C. License: Please describe what is being licensed _____
   D. Lease: Please describe what is being leased and the location of use _____
   E. Other: Please describe _____

8. I certify that to the best of my knowledge and belief the information on this form is correct as of the date hereof and that, if any information on this form ceases to be correct, I will submit a replacement international supplier registration form to MIT (procurement@mit.edu) promptly.

   Supplier signature_____   Date_____

In accordance with United States Tax law, MIT will not withhold taxes from the invoiced amount for the following: (1) goods OR (2) services performed entirely outside the United States OR (3) leases of property used entirely outside the United States.

MIT will withhold 30% taxes from the invoiced amount for the following: (1) services performed in the United States; (2) software, data, copyright, or intellectual property licenses or royalties; and (3) leases of property used in the United States. If you believe that you are exempt from withholding, please provide us with evidence of exemption using the applicable forms below:

- **Form W-8BEN** if you are an individual. A U.S. taxpayer ID or foreign taxpayer number is required.
- **Form W-8BEN-E** if you are an entity. A U.S. taxpayer ID or foreign taxpayer number is required.
- **Form W-8IMY** if you are an intermediary or other flow-through entity. A withholding statement and underlying documents are required.
- **Form W-8ECI** if you conduct a trade or business in the US. A U.S. taxpayer ID is required.
- **Form 8233** if you are a non-resident individual alien providing personal services. A U.S. taxpayer ID is required.

MIT Company Code (Internal Use) _____   June 2015

APPENDIX VI: Financial Review and Control Signoff Form – [*June 2011*] (FRC)

Administrative Services Organization

I, _____, have reviewed the activity on the following cost objects for the month referenced above in accordance with *The Guidelines for Financial Review and Control*. I have resolved all discrepancies identified during this review as completely as possible and I have attached documentation as appropriate but have retained all receipts in my files.

Short Program Course

_____
Course Name

_____   _____
      Course Number or   **Account Number (2xxxxxx)**
Designation (ex: 2.50s or MBD)

Date   **Signature**

_____   _____

An ***** next to the course account number indicates discrepancies were noted on this Cost Object during this review.
Documentation detailing all discrepancies noted, and their resolution, is attached.

COMMENTS:
_____
_____
_____
_____

APPENDIX VII:

MIT Professional Education – SP
SP Course Discretionary Transfer Statement

After course expenses are paid, I _____(Name) would like payments for teaching a SP course to go into a discretionary account(s).

(Please check one and fill in the blank)
☐ 100% of my payment for teaching a summer course to go into discretionary account.
☐ Other option, please specify details:

_____
_____
_____
_____

Payments should go into discretionary account number(s) _____.

I understand that this decision is not reversible and that I cannot be paid directly for this same work from these funds at a future time. This form must be received at SP a minimum of one week prior to my course running.

Note that this decision has no impact on pay decisions for any other activities of a similar nature.

Signed,

_____

Date _____

Course number/designation _____

Course title _____

APPENDIX VIII: SAMPLE REVENUE REPORT

SP REVENUE REPORT
PROFESSIONAL EDUCATION

PROGRAM DETAILS	
Course number/designation	
Course Name	
Faculty Name	
Co-Faculty Name	
SAP Account Number	
Admin Assistant	
Program Start Date	
Program End Date	

PROGRAM FEES	
REVENUES	
Tuition (p/wk)	$1,000
Total Number of Participants (p/wk)	25
Discounts/Scholarships	($5,570)
Total Tuition Collected	$19,430
INDIRECT EXPENSES	**IN DOLLARS**
Provost Fee 10%	$1,943.00
SP Admin 15%	$2,914.50
SP Marketing 15%	$2,914.50
Total Indirect Expenses	$7,772.00
TOTAL REVENUE minus Indirect Exp	**$11,658.00**
DIRECT COURSE EXPENSES	**IN DOLLARS**
Carry Over Balance positive/negative	$208.67
Professional/Consultants	$3,000.00
Books & Publications	$500.00
Meetings - Food & Beverages	$500.00
Postage Mailing and Shipping	$23.50
Expenses Sub Total	**$4,232.17**
NET REVENUE AVAILABLE	**$7,425.83**

APPENDIX IX: SAMPLE CLOSING STATEMENT

SP CLOSING STATEMENT
PROFESSIONAL EDUCATION

PROGRAM DETAILS	
Course number/designation	
Course Name	
Faculty Name	
SAP Account Number	
Admin Assistant	
Program Start Date	
Program End Date	

PROGRAM FEES	
REVENUES	
Tuition (p/wk)	$1,000.00
Total Number of Participants (p/wk)	25
Discounts/Scholarships	($5,570.00)
Total Tuition Collected	$19,430.00
INDIRECT EXPENSES	**IN DOLLARS**
Provost Fee 10%	$1,943.00
SP Admin 15%	$2,914.50
SP Marketing 15%	$2,914.50
Total Indirect Expenses	$7,772.00
TOTAL REVENUE minus Indirect Exp	**$11,658.00**
DIRECT COURSE EXPENSES	**IN DOLLARS**
Carry Over Balance	$208.67
Professional Services/Consulting	$3,000.00
Books & Publications	$500.00
Meetings - Food & Beverages	$500.00
Postage Mailing and Shipping	$23.50
Expenses Sub Total	**$4,232.17**
REVENUE AVAILABLE	**$7,425.83**
Payments to Program Director	($3,000.00)
Approved Discretionary Transfer	($4,425.83)
FINAL BALANCE	**$0.00**

APPENDIX X: INDEPENDENT CONTRACTOR FORMS

Forms available at https://vpf.mit.edu/shop-for-services

Contractor Portion

Independent Contractor Registration
Contractor Portion

To register as an MIT supplier, please complete all sections of this form.
Please contact VPF at (supplier_contact@mit.edu) with questions.

Supplier Information:

First Name: _____ Last Name: _____

Phone: _____ Fax: _____ Website: _____

Contact Email: _____

Email address for receiving MIT Purchase Orders: _____

Remit To (If different than W-9):

Address Line 1 (Street Number and Street Name): _____

Address Line 2 (Suite/Building/Apartment): _____

PO Box #: _____ City/Town: _____ State: _____ Zip Code: _____

Are you registered in the Coupa Supplier Network?

If yes, CSN email address: _____

Join CSN: First Name: _____ Last Name: _____ Email: _____

Additional Questions: *(If yes to any of these questions, please describe below)*

Are you a US Citizen for tax purposes?   US Citizen

Are you presently or formally affiliated with MIT as an employee, student, faculty, or independent contractor? No

Are you an employee at another organization?   No

Are you a full-time student at any college or university?   No

```

```

The following information must be submitted to complete your registration:

1. Resume

2. Client list or Letter of Intent (if MIT is first client)

3. Statement of work

4. Deliverable items (tangible) or Reports

Supplier Signature _____ Date _____

Revised: February 2017   supplier_contact@mit.edu

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Department Portion

Independent Contractor
Department Portion

MIT | VPF

To register an Independent Contractor, please complete all sections of this form and submit.
Please contact VPF at (supplier_contact@mit.edu) with questions.

Supplier Name: _____   Req #: _____

Project Details:

Where will the work be performed?   Inside U.S.? ◯   Outside U.S.? ◯

Period of Performance:

From Date: _____   To Date: _____

Compensation:

Compensation Rate: $ _____   Per _____ (hour, day)

Total # of work hours or days: _____

Total estimated costs: _____

Total estimated cost of travel: _____

Other costs _____

Total _____

Basis for selection of contractor and acceptance of costs as reasonable (if no Selection of Source form):

[blank box]

Please answer the following questions about the project (if yes, please describe below):

1. Are the services to be provided comparable to those performed by other MIT employees?   Yes

2. Will the contractor supervise any MIT employees?   No

3. Will the contractor receive detailed supervision by any MIT employee?   No

4. Will anyone provide direction and/or instruction to the contractor on how to complete the work?   No

5. Will the contractor perform his/her work at MIT?   No

6. Will the contractor's work hours be set by MIT?   No

7. Will the contractor be assigned MIT office space and/or require MIT administrative services?   No

8. Will additional services of this contractor be required after the completion of this contract?   No

[blank box]

Signature _____   Date _____

Revised: February 2017   supplier_contact@mit.edu

APPENDIX XI: SELECTION OF SOURCE FORM

http://vpf.mit.edu/site/content/download/30912/92272/file/Selection%20of%20Source_v22a_extd.pdf

VPF

ℍ𝕚𝕋 Selection of Source

Requisitions exceeding $10,000

Requisition Number: Selection of Source: MIT requires vendor and price justification for requisitions exceeding $5,000. Please complete this form to explain why this bid was selected and how a reasonable price was determined. Remember to provide written quotes whenever available and *always* when the purchase price exceeds $10,000.

To complete this form, save a copy to your computer and email the form to the buyer associated with the requisition. If a buyer has not been assigned, email the completed form to procurementdocs@mit.edu.

Selected Bid	Company Name	Total Price

Please include the requisition number in the <u>email subject line</u> when submitting this form.

Section 1: Please list all companies you researched and the pricing that was provided.

Section 2. Why did you choose this vendor? (select one)
Select your primary choice from the dropdown menu

Section 2a. Provide further explanation based on section 2. Request for additional information will appear here...(Section 2 explanation space, if needed)

Section 3. How did you determine that the price was reasonable? (select one)
Select your primary price determination criteria from the dropdown menu

Section 3a. Provide further explanation based on section 3. Request for additional information will appear here...(Section 3 explanation space, if needed)

Requisitioner's Signature Form 2.5A (10/2011) For questions, please email procurement@mit.edu.

APPENDIX XII: I-9 FORM

Instructions for Employment Eligibility Verification

Department of Homeland Security
U.S. Citizenship and Immigration Services

USCIS
Form I-9
OMB No. 1615-0047
Expires 03/31/2016

Read all instructions carefully before completing this form.

Anti-Discrimination Notice. It is illegal to discriminate against any work-authorized individual in hiring, discharge, recruitment or referral for a fee, or in the employment eligibility verification (Form I-9 and E-Verify) process based on that individual's citizenship status, immigration status or national origin. Employers **CANNOT** specify which document(s) they will accept from an employee. The refusal to hire an individual because the documentation presented has a future expiration date may also constitute illegal discrimination. For more information, call the Office of Special Counsel for Immigration-Related Unfair Employment Practices (OSC) at 1-800-255-7688 (employees), 1-800-255-8155 (employers), or 1-800-237-2515 (TDD), or visit **www.justice.gov/crt/about/osc**.

What Is the Purpose of This Form?

Employers must complete Form I-9 to document verification of the identity and employment authorization of each new employee (both citizen and noncitizen) hired after November 6, 1986, to work in the United States. In the Commonwealth of the Northern Mariana Islands (CNMI), employers must complete Form I-9 to document verification of the identity and employment authorization of each new employee (both citizen and noncitizen) hired after November 27, 2011. Employers should have used Form I-9 CNMI between November 28, 2009 and November 27, 2011.

General Instructions

Employers are responsible for completing and retaining Form I-9. For the purpose of completing this form, the term "employer" means all employers, including those recruiters and referrers for a fee who are agricultural associations, agricultural employers, or farm labor contractors.

Form I-9 is made up of three sections. Employers may be fined if the form is not complete. Employers are responsible for retaining completed forms. Do not mail completed forms to U.S. Citizenship and Immigration Services (USCIS) or Immigration and Customs Enforcement (ICE).

Section 1. Employee Information and Attestation

Newly hired employees must complete and sign Section 1 of Form I-9 **no later than the first day of employment**. Section 1 should never be completed before the employee has accepted a job offer.

Provide the following information to complete Section 1:

Name: Provide your full legal last name, first name, and middle initial. Your last name is your family name or surname. If you have two last names or a hyphenated last name, include both names in the last name field. Your first name is your given name. Your middle initial is the first letter of your second given name, or the first letter of your middle name, if any.

Other names used: Provide all other names used, if any (including maiden name). If you have had no other legal names, write "N/A."

Address: Provide the address where you currently live, including Street Number and Name, Apartment Number (if applicable), City, State, and Zip Code. Do not provide a post office box address (P.O. Box). Only border commuters from Canada or Mexico may use an international address in this field.

Date of Birth: Provide your date of birth in the mm/dd/yyyy format. For example, January 23, 1950, should be written as 01/23/1950.

U.S. Social Security Number: Provide your 9-digit Social Security number. Providing your Social Security number is voluntary. However, if your employer participates in E-Verify, you must provide your Social Security number.

E-mail Address and Telephone Number (Optional): You may provide your e-mail address and telephone number. Department of Homeland Security (DHS) may contact you if DHS learns of a potential mismatch between the information provided and the information in DHS or Social Security Administration (SSA) records. You may write "N/A" if you choose not to provide this information.

EMPLOYERS MUST RETAIN COMPLETED FORM I-9
DO NOT MAIL COMPLETED FORM I-9 TO ICE OR USCIS

All employees must attest in Section 1, under penalty of perjury, to their citizenship or immigration status by checking one of the following four boxes provided on the form:

1. **A citizen of the United States**

2. **A noncitizen national of the United States:** Noncitizen nationals of the United States are persons born in American Samoa, certain former citizens of the former Trust Territory of the Pacific Islands, and certain children of noncitizen nationals born abroad.

3. **A lawful permanent resident:** A lawful permanent resident is any person who is not a U.S. citizen and who resides in the United States under legally recognized and lawfully recorded permanent residence as an immigrant. The term "lawful permanent resident" includes conditional residents. If you check this box, write either your Alien Registration Number (A-Number) or USCIS Number in the field next to your selection. At this time, the USCIS Number is the same as the A-Number without the "A" prefix.

4. **An alien authorized to work:** If you are not a citizen or national of the United States or a lawful permanent resident, but are authorized to work in the United States, check this box.

   If you check this box:

   a. Record the date that your employment authorization expires, if any. Aliens whose employment authorization does not expire, such as refugees, asylees, and certain citizens of the Federated States of Micronesia, the Republic of the Marshall Islands, or Palau, may write "N/A" on this line.

   b. Next, enter your Alien Registration Number (A-Number)/USCIS Number. At this time, the USCIS Number is the same as your A-Number without the "A" prefix. If you have not received an A-Number/USCIS Number, record your Admission Number. You can find your Admission Number on Form I-94, "Arrival-Departure Record," or as directed by USCIS or U.S. Customs and Border Protection (CBP).

      (1) If you obtained your admission number from CBP in connection with your arrival in the United States, then also record information about the foreign passport you used to enter the United States (number and country of issuance).

      (2) If you obtained your admission number from USCIS *within the United States*, or you entered the United States without a foreign passport, you must write "N/A" in the Foreign Passport Number and Country of Issuance fields.

Sign your name in the "Signature of Employee" block and record the date you completed and signed Section 1. By signing and dating this form, you attest that the citizenship or immigration status you selected is correct and that you are aware that you may be imprisoned and/or fined for making false statements or using false documentation when completing this form. To fully complete this form, you must present to your employer documentation that establishes your identity and employment authorization. Choose which documents to present from the Lists of Acceptable Documents, found on the last page of this form. You must present this documentation no later than the third day after beginning employment, although you may present the required documentation before this date.

Preparer and/or Translator Certification

The Preparer and/or Translator Certification must be completed if the employee requires assistance to complete Section 1 (e.g., the employee needs the instructions or responses translated, someone other than the employee fills out the information blocks, or someone with disabilities needs additional assistance). The employee must still sign Section 1.

Minors and Certain Employees with Disabilities (Special Placement)

Parents or legal guardians assisting minors (individuals under 18) and certain employees with disabilities should review the guidelines in the *Handbook for Employers: Instructions for Completing Form I-9 (M-274)* on **www.uscis.gov/ I-9Central** before completing Section 1. These individuals have special procedures for establishing identity if they cannot present an identity document for Form I-9. The special procedures include **(1)** the parent or legal guardian filling out Section 1 and writing "minor under age 18" or "special placement," whichever applies, in the employee signature block; and **(2)** the employer writing "minor under age 18" or "special placement" under List B in Section 2.

Section 2. Employer or Authorized Representative Review and Verification

Before completing Section 2, employers must ensure that Section 1 is completed properly and on time. Employers may not ask an individual to complete Section 1 before he or she has accepted a job offer.

Employers or their authorized representative must complete Section 2 by examining evidence of identity and employment authorization within 3 business days of the employee's first day of employment. For example, if an employee begins employment on Monday, the employer must complete Section 2 by Thursday of that week. However, if an employer hires an individual for less than 3 business days, Section 2 must be completed no later than the first day of employment. An employer may complete Form I-9 before the first day of employment if the employer has offered the individual a job and the individual has accepted.

Employers cannot specify which document(s) employees may present from the Lists of Acceptable Documents, found on the last page of Form I-9, to establish identity and employment authorization. Employees must present one selection from List A **OR** a combination of one selection from List B and one selection from List C. List A contains documents that show both identity and employment authorization. Some List A documents are combination documents. The employee must present combination documents together to be considered a List A document. For example, a foreign passport and a Form I-94 containing an endorsement of the alien's nonimmigrant status must be presented together to be considered a List A document. List B contains documents that show identity only, and List C contains documents that show employment authorization only. If an employee presents a List A document, he or she should **not** present a List B and List C document, and vice versa. If an employer participates in E-Verify, the List B document must include a photograph.

In the field below the Section 2 introduction, employers must enter the last name, first name and middle initial, if any, that the employee entered in Section 1. This will help to identify the pages of the form should they get separated.

Employers or their authorized representative must:

1. Physically examine each original document the employee presents to determine if it reasonably appears to be genuine and to relate to the person presenting it. The person who examines the documents must be the same person who signs Section 2. The examiner of the documents and the employee must both be physically present during the examination of the employee's documents.

2. Record the document title shown on the Lists of Acceptable Documents, issuing authority, document number and expiration date (if any) from the original document(s) the employee presents. You may write "N/A" in any unused fields.

    If the employee is a student or exchange visitor who presented a foreign passport with a Form I-94, the employer should also enter in Section 2:

    a. The student's Form I-20 or DS-2019 number (Student and Exchange Visitor Information System-SEVIS Number); **and** the program end date from Form I-20 or DS-2019.

3. Under Certification, enter the employee's first day of employment. Temporary staffing agencies may enter the first day the employee was placed in a job pool. Recruiters and recruiters for a fee do not enter the employee's first day of employment.

4. Provide the name and title of the person completing Section 2 in the Signature of Employer or Authorized Representative field.

5. Sign and date the attestation on the date Section 2 is completed.

6. Record the employer's business name and address.

7. Return the employee's documentation.

Employers may, but are not required to, photocopy the document(s) presented. If photocopies are made, they should be made for **ALL** new hires or reverifications. Photocopies must be retained and presented with Form I-9 in case of an inspection by DHS or other federal government agency. Employers must always complete Section 2 even if they photocopy an employee's document(s). Making photocopies of an employee's document(s) cannot take the place of completing Form I-9. Employers are still responsible for completing and retaining Form I-9.

Unexpired Documents

Generally, only unexpired, original documentation is acceptable. The only exception is that an employee may present a certified copy of a birth certificate. Additionally, in some instances, a document that appears to be expired may be acceptable if the expiration date shown on the face of the document has been extended, such as for individuals with temporary protected status. Refer to the *Handbook for Employers: Instructions for Completing Form I-9 (M-274)* or I-9 Central (www.uscis.gov/I-9Central) for examples.

Receipts

If an employee is unable to present a required document (or documents), the employee can present an acceptable receipt in lieu of a document from the Lists of Acceptable Documents on the last page of this form. Receipts showing that a person has applied for an initial grant of employment authorization, or for renewal of employment authorization, are not acceptable. Employers cannot accept receipts if employment will last less than 3 days. Receipts are acceptable when completing Form I-9 for a new hire or when reverification is required.

Employees must present receipts within 3 business days of their first day of employment, or in the case of reverification, by the date that reverification is required, and must present valid replacement documents within the time frames described below.

There are three types of acceptable receipts:

1. A receipt showing that the employee has applied to replace a document that was lost, stolen or damaged. The employee must present the actual document within 90 days from the date of hire.

2. The arrival portion of Form I-94/I-94A with a temporary I-551 stamp and a photograph of the individual. The employee must present the actual Permanent Resident Card (Form I-551) by the expiration date of the temporary I-551 stamp, or, if there is no expiration date, within 1 year from the date of issue.

3. The departure portion of Form I-94/I-94A with a refugee admission stamp. The employee must present an unexpired Employment Authorization Document (Form I-766) or a combination of a List B document and an unrestricted Social Security card within 90 days.

When the employee provides an acceptable receipt, the employer should:

1. Record the document title in Section 2 under the sections titled List A, List B, or List C, as applicable.

2. Write the word "receipt" and its document number in the "Document Number" field. Record the last day that the receipt is valid in the "Expiration Date" field.

By the end of the receipt validity period, the employer should:

1. Cross out the word "receipt" and any accompanying document number and expiration date.

2. Record the number and other required document information from the actual document presented.

3. Initial and date the change.

See the *Handbook for Employers: Instructions for Completing Form I-9 (M-274)* at **www.uscis.gov/I-9Central** for more information on receipts.

Section 3. Reverification and Rehires

Employers or their authorized representatives should complete Section 3 when reverifying that an employee is authorized to work. When rehiring an employee within 3 years of the date Form I-9 was originally completed, employers have the option to complete a new Form I-9 or complete Section 3. When completing Section 3 in either a reverification or rehire situation, if the employee's name has changed, record the name change in Block A.

For employees who provide an employment authorization expiration date in Section 1, employers must reverify employment authorization on or before the date provided.

Some employees may write "N/A" in the space provided for the expiration date in Section 1 if they are aliens whose employment authorization does not expire (e.g., asylees, refugees, certain citizens of the Federated States of Micronesia, the Republic of the Marshall Islands, or Palau). Reverification does not apply for such employees unless they chose to present evidence of employment authorization in Section 2 that contains an expiration date and requires reverification, such as Form I-766, Employment Authorization Document.

Reverification applies if evidence of employment authorization (List A or List C document) presented in Section 2 expires. However, employers should not reverify:

1. U.S. citizens and noncitizen nationals; or

2. Lawful permanent residents who presented a Permanent Resident Card (Form I-551) for Section 2.

Reverification does not apply to List B documents.

If both Section 1 and Section 2 indicate expiration dates triggering the reverification requirement, the employer should reverify by the earlier date.

For reverification, an employee must present unexpired documentation from either List A or List C showing he or she is still authorized to work. Employers CANNOT require the employee to present a particular document from List A or List C. The employee may choose which document to present.

To complete Section 3, employers should follow these instructions:

1. Complete Block A if an employee's name has changed at the time you complete Section 3.

2. Complete Block B with the date of rehire if you rehire an employee within 3 years of the date this form was originally completed, and the employee is still authorized to be employed on the same basis as previously indicated on this form. Also complete the "Signature of Employer or Authorized Representative" block.

3. Complete Block C if:

   a. The employment authorization or employment authorization document of a current employee is about to expire and requires reverification; or

   b. You rehire an employee within 3 years of the date this form was originally completed and his or her employment authorization or employment authorization document has expired. (Complete Block B for this employee as well.)

   To complete Block C:

   a. Examine either a List A or List C document the employee presents that shows that the employee is currently authorized to work in the United States; and

   b. Record the document title, document number, and expiration date (if any).

4. After completing block A, B or C, complete the "Signature of Employer or Authorized Representative" block, including the date.

   For reverification purposes, employers may either complete Section 3 of a new Form I-9 or Section 3 of the previously completed Form I-9. Any new pages of Form I-9 completed during reverification must be attached to the employee's original Form I-9. If you choose to complete Section 3 of a new Form I-9, you may attach just the page containing Section 3, with the employee's name entered at the top of the page, to the employee's original Form I-9. If there is a more current version of Form I-9 at the time of reverification, you must complete Section 3 of that version of the form.

What Is the Filing Fee?

There is no fee for completing Form I-9. This form is not filed with USCIS or any government agency. Form I-9 must be retained by the employer and made available for inspection by U.S. Government officials as specified in the **"USCIS Privacy Act Statement"** below.

USCIS Forms and Information

For more detailed information about completing Form I-9, employers and employees should refer to the *Handbook for Employers: Instructions for Completing Form I-9 (M-274)*.

You can also obtain information about Form I-9 from the USCIS Web site at www.uscis.gov/I-9Central, by e-mailing USCIS at **I-9Central@dhs.gov**, or by calling **1-888-464-4218**. For TDD (hearing impaired), call **1-877-875-6028**.

To obtain USCIS forms or the *Handbook for Employers*, you can download them from the USCIS Web site at www.uscis.gov/forms. You may order USCIS forms by calling our toll-free number at **1-800-870-3676**. You may also obtain forms and information by contacting the USCIS National Customer Service Center at **1-800-375-5283**. For TDD (hearing impaired), call **1-800-767-1833**.

Information about E-Verify, a free and voluntary program that allows participating employers to electronically verify the employment eligibility of their newly hired employees, can be obtained from the USCIS Web site at www.dhs.gov/E-Verify, by e-mailing USCIS at **E-Verify@dhs.gov** or by calling **1-888-464-4218**. For TDD (hearing impaired), call **1-877-875-6028.**

Employees with questions about Form I-9 and/or E-Verify can reach the USCIS employee hotline by calling **1-888-897-7781**. For TDD (hearing impaired), call **1-877-875-6028.**

Photocopying and Retaining Form I-9

A blank Form I-9 may be reproduced, provided all sides are copied. The instructions and Lists of Acceptable Documents must be available to all employees completing this form. Employers must retain each employee's completed Form I-9 for as long as the individual works for the employer. Employers are required to retain the pages of the form on which the employee and employer enter data. If copies of documentation presented by the employee are made, those copies must also be kept with the form. Once the individual's employment ends, the employer must retain this form for either 3 years after the date of hire or 1 year after the date employment ended, whichever is later.

Form I-9 may be signed and retained electronically, in compliance with Department of Homeland Security regulations at 8 CFR 274a.2.

USCIS Privacy Act Statement

AUTHORITIES: The authority for collecting this information is the Immigration Reform and Control Act of 1986, Public Law 99-603 (8 USC 1324a).

PURPOSE: This information is collected by employers to comply with the requirements of the Immigration Reform and Control Act of 1986. This law requires that employers verify the identity and employment authorization of individuals they hire for employment to preclude the unlawful hiring, or recruiting or referring for a fee, of aliens who are not authorized to work in the United States.

DISCLOSURE: Submission of the information required in this form is voluntary. However, failure of the employer to ensure proper completion of this form for each employee may result in the imposition of civil or criminal penalties. In addition, employing individuals knowing that they are unauthorized to work in the United States may subject the employer to civil and/or criminal penalties.

ROUTINE USES: This information will be used by employers as a record of their basis for determining eligibility of an employee to work in the United States. The employer will keep this form and make it available for inspection by authorized officials of the Department of Homeland Security, Department of Labor, and Office of Special Counsel for Immigration-Related Unfair Employment Practices.

Paperwork Reduction Act

An agency may not conduct or sponsor an information collection and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The public reporting burden for this collection of information is estimated at 35 minutes per response, including the time for reviewing instructions and completing and retaining the form. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: U.S. Citizenship and Immigration Services, Regulatory Coordination Division, Office of Policy and Strategy, 20 Massachusetts Avenue NW, Washington, DC 20529-2140; OMB No. 1615-0047. **Do not mail your completed Form I-9 to this address.**

Employment Eligibility Verification

Department of Homeland Security
U.S. Citizenship and Immigration Services

USCIS
Form I-9
OMB No. 1615-0047
Expires 03/31/2016

▶**START HERE.** Read instructions carefully before completing this form. The instructions must be available during completion of this form.
ANTI-DISCRIMINATION NOTICE: It is illegal to discriminate against work-authorized individuals. Employers **CANNOT** specify which document(s) they will accept from an employee. The refusal to hire an individual because the documentation presented has a future expiration date may also constitute illegal discrimination.

Section 1. Employee Information and Attestation (Employees must complete and sign Section 1 of Form I-9 no later than the **first day of employment**, but not before accepting a job offer.)

Last Name (Family Name)	First Name (Given Name)	Middle Initial	Other Names Used (if any)

Address (Street Number and Name)	Apt. Number	City or Town	State	Zip Code

Date of Birth (mm/dd/yyyy)	U.S. Social Security Number	E-mail Address	Telephone Number
	☐☐☐-☐☐-☐☐☐☐		

I am aware that federal law provides for imprisonment and/or fines for false statements or use of false documents in connection with the completion of this form.

I attest, under penalty of perjury, that I am (check one of the following):

☐ A citizen of the United States

☐ A noncitizen national of the United States (See instructions)

☐ A lawful permanent resident (Alien Registration Number/USCIS Number): _____

☐ An alien authorized to work until (expiration date, if applicable, mm/dd/yyyy) _____ . Some aliens may write "N/A" in this field. (See instructions)

For aliens authorized to work, provide your Alien Registration Number/USCIS Number **OR** Form I-94 Admission Number:

1. Alien Registration Number/USCIS Number: _____

OR

2. Form I-94 Admission Number: _____

If you obtained your admission number from CBP in connection with your arrival in the United States, include the following:

Foreign Passport Number: _____

Country of Issuance: _____

Some aliens may write "N/A" on the Foreign Passport Number and Country of Issuance fields. (See instructions)

3-D Barcode
Do Not Write in This Space
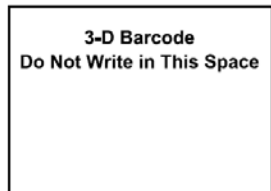
Signature of Employee:	Date (mm/dd/yyyy):

Preparer and/or Translator Certification (To be completed and signed if Section 1 is prepared by a person other than the employee.)

I attest, under penalty of perjury, that I have assisted in the completion of this form and that to the best of my knowledge the information is true and correct.

Signature of Preparer or Translator:	Date (mm/dd/yyyy):

Last Name (Family Name)	First Name (Given Name)

Address (Street Number and Name)	City or Town	State	Zip Code

🛑 **Employer Completes Next Page** 🛑

Section 2. Employer or Authorized Representative Review and Verification

(Employers or their authorized representative must complete and sign Section 2 within 3 business days of the employee's first day of employment. You must physically examine one document from List A OR examine a combination of one document from List B and one document from List C as listed on the "Lists of Acceptable Documents" on the next page of this form. For each document you review, record the following information: document title, issuing authority, document number, and expiration date, if any.)

Employee Last Name, First Name and Middle Initial from Section 1:

List A	OR	List B	AND	List C
Identity and Employment Authorization		**Identity**		**Employment Authorization**

List A	List B	List C
Document Title:	Document Title:	Document Title:
Issuing Authority:	Issuing Authority:	Issuing Authority:
Document Number:	Document Number:	Document Number:
Expiration Date *(if any)(mm/dd/yyyy)*:	Expiration Date *(if any)(mm/dd/yyyy)*:	Expiration Date *(if any)(mm/dd/yyyy)*:
Document Title:		
Issuing Authority:		
Document Number:		
Expiration Date *(if any)(mm/dd/yyyy)*:		
Document Title:		
Issuing Authority:		3-D Barcode
Document Number:		Do Not Write in This Space
Expiration Date *(if any)(mm/dd/yyyy)*:		

Certification

I attest, under penalty of perjury, that (1) I have examined the document(s) presented by the above-named employee, (2) the above-listed document(s) appear to be genuine and to relate to the employee named, and (3) to the best of my knowledge the employee is authorized to work in the United States.

The employee's first day of employment *(mm/dd/yyyy)*: _____ **(See instructions for exemptions.)**

Signature of Employer or Authorized Representative	Date *(mm/dd/yyyy)*	Title of Employer or Authorized Representative	
Last Name *(Family Name)*	First Name *(Given Name)*	Employer's Business or Organization Name	
Employer's Business or Organization Address *(Street Number and Name)*	City or Town	State	Zip Code

Section 3. Reverification and Rehires *(To be completed and signed by employer or authorized representative.)*

A. New Name *(if applicable)* Last Name *(Family Name)* First Name *(Given Name)*	Middle Initial	**B.** Date of Rehire *(if applicable)* *(mm/dd/yyyy)*:

C. If employee's previous grant of employment authorization has expired, provide the information for the document from List A or List C the employee presented that establishes current employment authorization in the space provided below.

Document Title:	Document Number:	Expiration Date *(if any)(mm/dd/yyyy)*:

I attest, under penalty of perjury, that to the best of my knowledge, this employee is authorized to work in the United States, and if the employee presented document(s), the document(s) I have examined appear to be genuine and to relate to the individual.

Signature of Employer or Authorized Representative:	Date *(mm/dd/yyyy)*:	Print Name of Employer or Authorized Representative:

LISTS OF ACCEPTABLE DOCUMENTS
All documents must be UNEXPIRED

Employees may present one selection from List A
or a combination of one selection from List B and one selection from List C.

LIST A Documents that Establish Both Identity and Employment Authorization	OR	LIST B Documents that Establish Identity	AND	LIST C Documents that Establish Employment Authorization

1. U.S. Passport or U.S. Passport Card
 	
2. Permanent Resident Card or Alien Registration Receipt Card (Form I-551)
 	
3. Foreign passport that contains a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa
 	
4. Employment Authorization Document that contains a photograph (Form I-766)
 	
5. For a nonimmigrant alien authorized to work for a specific employer because of his or her status:
  a. Foreign passport; and
  b. Form I-94 or Form I-94A that has the following:
    (1) The same name as the passport; and
    (2) An endorsement of the alien's nonimmigrant status as long as that period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form.
 	
6. Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I-94A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI
		1. Driver's license or ID card issued by a State or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address
		
		2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address
		
		3. School ID card with a photograph
		
		4. Voter's registration card
		
		5. U.S. Military card or draft record
		
		6. Military dependent's ID card
		
		7. U.S. Coast Guard Merchant Mariner Card
		
		8. Native American tribal document
		
		9. Driver's license issued by a Canadian government authority
		
		For persons under age 18 who are unable to present a document listed above:
		
		10. School record or report card
		
		11. Clinic, doctor, or hospital record
		
		12. Day-care or nursery school record
				1. A Social Security Account Number card, unless the card includes one of the following restrictions:
				  (1) NOT VALID FOR EMPLOYMENT
				  (2) VALID FOR WORK ONLY WITH INS AUTHORIZATION
				  (3) VALID FOR WORK ONLY WITH DHS AUTHORIZATION
				
				2. Certification of Birth Abroad issued by the Department of State (Form FS-545)
				
				3. Certification of Report of Birth issued by the Department of State (Form DS-1350)
				
				4. Original or certified copy of birth certificate issued by a State, county, municipal authority, or territory of the United States bearing an official seal
				
				5. Native American tribal document
				
				6. U.S. Citizen ID Card (Form I-197)
				
				7. Identification Card for Use of Resident Citizen in the United States (Form I-179)
				
				8. Employment authorization document issued by the Department of Homeland Security

Illustrations of many of these documents appear in Part 8 of the Handbook for Employers (M-274).

Refer to Section 2 of the instructions, titled "Employer or Authorized Representative Review and Verification," for more information about acceptable receipts.

APPENDIX XIII: W-9 and W-8BEN FORMS

Form W-9
(Rev. December 2014)
Department of the Treasury
Internal Revenue Service

**Request for Taxpayer
Identification Number and Certification**

Give Form to the
requester. Do not
send to the IRS.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification; check only **one** of the following seven boxes:

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶

Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner.

☐ Other (see instructions) ▶

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) _____

Exemption from FATCA reporting code (if any) _____

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.)

Requester's name and address (optional)

6 City, state, and ZIP code

7 List account number(s) here (optional)

Print or type
See **Specific Instructions** on page 2.

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number

| | | | – | | | – | | | | |

or

Employer identification number

| | | – | | | | | | |

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and

2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and

3. I am a U.S. citizen or other U.S. person (defined below); and

4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here

Signature of U.S. person ▶

Date ▶

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

• Form 1099-INT (interest earned or paid)

• Form 1099-DIV (dividends, including those from stocks or mutual funds)

• Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)

• Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)

• Form 1099-S (proceeds from real estate transactions)

• Form 1099-K (merchant card and third party network transactions)

• Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)

• Form 1099-C (canceled debt)

• Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

Cat. No. 10231X

Form **W-9** (Rev. 12-2014)

Form **W-8BEN**

(Rev. February 2014)

Department of the Treasury
Internal Revenue Service

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

▶ For use by individuals. Entities must use Form W-8BEN-E.
▶ Information about Form W-8BEN and its separate instructions is at *www.irs.gov/formw8ben.*
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:	Instead, use Form:
• You are NOT an individual	W-8BEN-E
• You are a U.S. citizen or other U.S. person, including a resident alien individual	W-9
• You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services)	W-8ECI
• You are a beneficial owner who is receiving compensation for personal services performed in the United States	8233 or W-4
• A person acting as an intermediary	W-8IMY

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner

2 Country of citizenship

3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**

City or town, state or province. Include postal code where appropriate.

Country

4 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6 Foreign tax identifying number (see instructions)

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____.

Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,

- The person named on line 1 of this form is not a U.S. person,

- The income to which this form relates is:

  (a) not effectively connected with the conduct of a trade or business in the United States,

  (b) effectively connected but is not subject to tax under an applicable income tax treaty, or

  (c) the partner's share of a partnership's effectively connected income,

- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and

- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

  Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ▶

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 2-2014)