

Guiding Principles for the Use of Start-Up Funds

Start-up funds may be used for the following expenses:

- airfare, meals, parking, car rental, etc. for travel related to research
- professional association annual membership dues (not extended or lifetime memberships)
- conference fees
- subscriptions
- transcription fees
- subvention fees
- offprint fees
- research collaboration with faculty and/or student co-authors
- research supplies and equipment (IT approval is required for technology purchases)

Expenses not listed above require prior authorization of the Dean of the Faculty. All expenditures over \$500 require prior approval from the Dean of the Faculty. These funds may not be used for entertainment, meals, or other similar local expenses not directly related to research. **Please map your expenses to the following object codes:**

FACULTY SUPPORT

- **Faculty Development (Object Code 54245):** supplies, consumables, materials, and books needed for faculty research and performance, individual subscriptions/memberships for faculty (excluding conference registration fees), cost of surveys and data acquisition used in research or creative works;
- **Faculty Domestic Travel (Object Code 55180):** faculty travel for teaching, research, and faculty development. *Note: All travel expenses should follow the SOUTHWESTERN UNIVERSITY TRAVEL POLICY (found on the [Business Office webpage](#));*
- **Conference Registration Fees (Object Code 55185):** registration fees for faculty to attend external conferences and conventions (excluding travel expenses);
- **Foreign Travel & Expenses (to Entities Outside the US) (Object Code 55190):** Foreign expenses including travel, books, translation services, and other services;

OPERATIONAL SUPPORT

(Prior approval from the DOF required in order to place start-up funds in Operational Support lines)

- **Equipment (Object Code 58110):** capital purchases;
- **Informational Technology (Object Code 58405):** computer hardware, software, peripherals, and multimedia equipment (**Requires ITS approval** before purchase; see last page for overview of this policy);

Object-codes and Groupings

(Remark: Normally, start-up funds are allocated within the Faculty Support lines)

FACULTY SUPPORT

Faculty Development

Faculty Domestic Travel

Conference Registration Fees

Foreign Travel & Expenses to Entities Outside US

OPERATIONAL SUPPORT

Equipment & Furniture

Informational Technology

Advance approval from the Dean of the Faculty is required to move funds from one color grouping to another. Advance approval is not required to move funds between object code categories sharing the same color grouping. For ALL transfer requests, the department/program chair should send a completed Budget Adjustment

Form (found on the Business Office [webpage](#)) to Barbara Jean (jeanb@southwestern.edu). (This form records the transfer amount, debit account object code, credit account object code, purpose of transfer, and approval, if applicable.)

FROM INFORMATION TECHNOLOGY SERVICES:

The current business office purchasing policy states, "*The purchase of computers and computer-related hardware and software require the advance approval of Information Technology Services.*"

Periodically, a question arises as to whether this policy includes minimal cost items, and if not, what that price threshold would be. The Information Technology Department provides the following overview of the rationale behind the policy, and why it makes sense to consult IT first on even the smallest of items:

1. IT partners with many vendors who provide significant discounts to education and government entities. We are also members of many purchasing consortia as well. We typically can find the cheapest pricing on technology items and often get free expedited shipping.
2. One common mistake for purchase reimbursements requests is that sales tax has been paid. Southwestern University's tax-exempt status allows many thousands of dollars to be saved each year, and we do the legwork for you to ensure taxes aren't charged.
3. We tend to keep inventory of many common small items (e.g., cables, dongles, etc.) that we may be able to provide to you instantly and can just charge your department account.
4. Often, IT can consult on the best item to get for your needs ensuring interoperability. Many times, there are known issues with certain products that we are aware of, and can save you a lot of frustration in the long run.
5. Due to the volume and relationships with some of our vendors, processing returns for items can be quite simple for us compared to difficult processes at other stores which can sometimes include restocking fees.

Ultimately, IT's goal is to be a partner to ensure everyone has the technology tools they need for success in their endeavors. It is our hope that because of the above-mentioned items that consulting with us leads to meeting everyone's needs and explains why the policy exists. With that in mind we are certainly mindful that circumstances sometimes mandate haste in decisions that our processes can impede. We strive to keep those instances to a minimum, and will work with employees and the business offices as cases arrive requiring exceptions.

(August 19, 2019)