

Academic Affairs

Spending Policy for Faculty Start-Up Funds

1. INTRODUCTION

The purpose of this policy is to provide uniform and consistent standards for awarding and tracking start-up funds to new tenure-track faculty members and to ensure funds are spent in accordance with the Appalachian State University (University) Spending Guidelines Policy 501.16.

2. SCOPE

This policy applies to all start-up funds awarded by any department, college, school or unit within Academic Affairs for faculty hired that are to be used for teaching, research and service. This policy does not cover expenses related to externally sponsored research or grant funds which must follow the guidelines through the Office of Sponsored Research.

3. DEFINITIONS

3.1 Start-Up Funds

Funds provided to incoming tenure-track faculty members to assist with teaching, research and service capabilities. Start-up funds may be used for the following: specialized equipment, travel funds, professional development registration funds, computer equipment beyond the standard computer provided to all faculty and staff, research funds, books, electronic resources, laboratory set-up, office supplies, services purchased from animal care and other research support facilities, and research assistant salaries and benefits.

3.2 Externally Sponsored Projects

Externally funded projects that may include grants, contracts and other restricted agreements supporting sponsored projects at the University.

3.3 Equipment

Tangible assets with a useful life of more than one year. Examples include scientific research equipment, computers, lab equipment, etc.

3.4 Supplies

Materials to be used in an office, lab, or classroom/studio with a useful life of less than one year.

4. POLICY AND PROCEDURE STATEMENTS

4.1 General Policy

4.1.1 As a form of recruitment, Deans may award incoming new tenure-track faculty with Start-Up Funds to allow the faculty member to make progress toward becoming a successful tenured faculty member of University. All such awards must be made within the faculty member's employment contract by the Provost's office.

4.1.2 The start-up funds can be provided for more than the first year, but cannot extend for more than five (5) years. In addition, the Dean must have the funds available in its annual budget to cover the expense of any Start-Up Funds.

4.1.3 Start-Up Funds offered may be spent on items detailed in this policy and in accordance with the spending guidelines as defined in Policy 501.16.

4.1.4 Start-Up Funds addressed in this policy are not considered personal compensation and cannot be used to supplement a faculty member's salary, nor may the funds be used to cover personal expenses. As a result, these funds are not subject to personal income tax withholdings unless spending policies are not followed or expenses are for personal gain.

4.1.5 In the event of the faculty member's departure from the University, any unspent balances, equipment or items of value remain the property of the University. In addition, for any copyrighted materials produced as a result of the receipt of Start-Up Funds, the University shall maintain the ownership of any intellectual property in accordance with the University's Intellectual Property Transfer Policy 207.

4.2 Specific Policies Regarding Start Up Funds

4.2.1 Purchases

All purchases must be handled by the designated employee in each college responsible for tracking the use of Start-Up Funds for faculty. No payments will be made directly to faculty members for Start-Up Fund purchase reimbursements. All equipment, including computers, purchased with Start Up Funds shall be the sole property of the University.

Computer equipment beyond the standard computer provided to all faculty may be purchased with Start-Up Funds; however, prior to any purchase of computer equipment the department must contact the ITS department to identify the best computing equipment to meet the needs of the faculty member. Similarly, software may be purchased with Start Up Funds, but must first be assessed through the ITS software acquisition process.

Start-Up Funds may not be used to purchase the following: office furniture and furnishings beyond the standard faculty office furniture provided; rare books; works of art; personal expenses; and any other expenses that could be construed as personal. Other examples may be found in section 4.3.1 of University Policy 501.16.

4.2.2 Research Assistants

If Start-Up Funds are used to hire research assistants for the faculty member, the prospective employee(s) must be informed in writing that funding is temporary and no commitment is made regarding employment once the funds are exhausted. Funds must be adequate to cover salary and any benefits using a University-determined benefit percentage.

4.2.3 Travel and Professional Development

Faculty may use Start-Up Funds to pay for registration fees and travel related to research or that provide the faculty member with opportunities to interact and network with others in his/her discipline. Travel is covered by Policy 510.1 with additional resources located on the [Controller's website](#). The travel procedures must be followed to receive reimbursement for any travel related expenses.

4.2.4 Laboratory Set-up

Start-Up Funds may also be used to establish a laboratory in which a faculty member will teach and conduct research. Facilities Operations should be contacted for any reconfigurations of space. All space and equipment will remain the property of the University at all times.

4.2.5 Purchased Services

All contracts with external parties providing services to the faculty member to support research must be reviewed and approved by the Office of General Counsel prior to the contract being executed. Only the Provost or their designee may execute a University contract.