Guidelines for Endowed Chair Research Budgets

Research expenses may include the following:
- airfare, meals, parking, car rental, etc. for travel related to research
  (Limits: $25 per day for meals; $250/night for hotel costs; normally, conference travel should be limited to 5 days/4 nights and research travel to two weeks.)
- professional association annual membership dues (not extended or lifetime memberships)
- conference fees
- subscriptions
- transcription fees
- subvention fees
- offprint fees
- student research assistants[1]
- 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. Endowed chair budgets may not be used for entertainment, meals or other similar local expenses not directly related to research. Endowed chair budgets may not be used for student entertainment[2], including meals, unless the students are working directly on research. (Departmental, FYS, and Paideia funds can be used, when available and previously approved, for non-research related student entertainment costs.) Endowed chairs are expected to teach the load consistent with their appointment letter. Endowed chairs who receive a course release are not eligible for overload compensation.

Remarks on Differences Between Endowed Chair Budgets and Regular Travel Award Budgets.
The use of endowed funds such as your research budget is a bit different than the regular travel award budget accounts (11-3300, 11-3310, etc.).

Spending from an endowed research budget is tied to expenses when they occur. Generally, credit card charges hit the budget during the month in which the purchase is made. [There is a time in late June when a purchase might fall in either fiscal year, depending on when it is actually posted by the credit card company.] Credit card purchases made in the current year for travel in the next fiscal year are permitted and will be posted as soon as the charges are paid. This is different than prepaying an expense. Prepaying an expense is not an option if paying by credit card. If an expense can be paid by check, you can prepare a purchase requisition and prepay the expense that way. This might be possible for some conference registration fees, deposits, etc.

Purchases from regular travel budgets (11-3300, 11-3310, etc.), with prior approval, may be made for future travel (in July and August only) and then those charges are deducted from the total amount awarded.

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[1] When paying a student research assistant, please allocate these expenses to the appropriate Student Worker's object code (51830 for the academic year, 51835 for summer wages). The approved amounts for student wages can be transferred from the Faculty Support grouping and/or from the Student and Instructional Support grouping into 51830/51835 using the budget adjustment form (on Business Office page here).

[2] Note: Endowed chair funds should only be used for meal/entertainment costs when these events are directly associated with University-related business. In such cases, the expenses covered should be limited to outside collaborators and Southwestern University students officially working with the faculty member on a project (but not family members, spouses, or partners, etc.).

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.)

Object Code Descriptions:
Please map your expenses to the following object codes:

FACULTY SUPPORT
(Remark: Normally, most research budgets would be allocated primarily within the Faculty Support grouping below)

Faculty Development (Object Code 54245): supplies, consumables, materials, and books needed for faculty research and performance, individual subscriptions & professional association annual (not extended) membership dues for faculty (excluding conference registration fees), cost of surveys[3] 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.

STUDENT & INSTRUCTIONAL SUPPORT

Programming and Student Engagement (Object Code 54530): honoraria and travel to support speakers, performers, and artists, and food and beverages for hosting internal events that support the mission of the department/program, support of student organizations tied to the department or program mission, student memberships in professional organizations, and registration fees for students to attend conferences. NOTES: (1) Please follow the Honoria Level Guidelines or consult with the Office of the Dean of the Faculty for appropriate honorarium amounts; (2) Gifts associated with departmental/program achievement awards for students should be funded through the Student Awards/Gift Account, which is administered by the Office of the Dean of the Faculty; (3) In general, faculty should not use University funds to purchase alcohol unless they have received prior approval from the Dean of the Faculty. (Exception: when entertaining outside speakers or job candidates, alcohol may be purchased for the speakers/candidates and attending faculty.)

Student Domestic Travel (Object Code 55115): student travel to domestic conferences and in support of their research and development. *Note: All travel expenses should follow the SOUTHWESTERN UNIVERSITY TRAVEL POLICY (found on the Business Office webpage);*

Student Foreign Travel (Object Code 55176): student travel to conferences held outside the U.S. and in support of their research and development. *Note: All travel expenses should follow the SOUTHWESTERN UNIVERSITY TRAVEL POLICY (found on the Business Office webpage);*

Student Housing (Object Code 54658): funds to cover on-campus summer housing for student research assistants (maximum of 4 weeks, current 2020 rate is $25 per day);

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[3] Please consult with Jennifer Martinka (martinkj@southwestern.edu) in the Business Office prior to purchasing gift cards to be provided to student survey participants.

<p style="text-align: center;">**OPERATIONAL SUPPORT**</p>

Equipment and Furniture (Object Code 58110): capital purchases;

Informational Technology: SOFTWARE EXPENSE (Object Code 58612)
This code is to be used for software purchases, including annual software licenses and subscriptions. Examples include but are not limited to Ellucian, GiveCampus, Transact, Adobe, Slate, Microsoft, HUDL (Athletics), Adobe, Cision, Concur, Fundriver. (**Requires ITS approval** before purchase; see below for overview of this policy);

Informational Technology: HARDWARE EXPENSE (Object Code 58613) This code is to be used for IT hardware purchases and expenses. Examples include but are not limited to computers, computer hardware, computer components, infrastructure wiring, network related instruments, audio visual equipment, cameras, printers, televisions, tablets, iPads, cellular telephones, card readers, and access control devices.
(**Requires ITS approval** before purchase; see below for overview of this policy);

Student Workers (Object Codes 51830 for academic year & 51835 for summer)
(these funds may not be shifted to other categories) summer and academic year funds to hire student workers to assist with research and teaching;

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'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 an 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.

(Last edited June 29, 2022)