

## College Guidelines and Procedures on Dean's Grants and Start-up Funds

(Established February 6, 2002; Revised October 2006, October 2008, October 2012, October 2020)

**Please note: Your department is responsible for any overdraft or other financial risk associated with any college grant.**

**Tenure-stream Faculty Research or Creative Activity:** The College of Arts and Sciences supports the scholarship and creative activity of our tenure-stream teaching scholars by supplementing internal and external funding with dean's grants. *On an ongoing basis, the dean will accept proposals for important faculty research projects (travel for research, to present findings at a conference, etc.) that are in line with established research agendas and hold promise of eventual publication in peer-reviewed venues.* The faculty member should submit the request via the Google Form found on the College's website.

[www.scu.edu/cas/internal/protocols--procedures](http://www.scu.edu/cas/internal/protocols--procedures). The confirmation email that the faculty will receive should be sent to their chair. The chair will use the link in this email to find the Chair Recommendation form (also a Google Form). Except in extraordinary circumstances, the request should be made to the dean **at least two months before** the cost is incurred. The Google Form will require the department chair and/or research committee to provide a written recommendation for each proposal, a comment on whether appropriate departmental funding has been exhausted, and may also recommend that the proposals be sent to other internal sources of support, e.g., the provost's office, a Center of Distinction. Within the limits imposed by budgetary constraints, tenure-stream faculty may apply for one \$1,500 grant per fiscal year. The senior assistant dean will gather all requests submitted during the month and then respond to applicants during the last week of each month. The amount awarded depends on the availability of resources. .

**Non-tenure-stream Faculty and Staff Professional Development:** The dean occasionally provides travel support for Senior Lecturers, academic staff, and regular staff to attend professional conferences and meetings. The faculty member should submit the request via the same Google Form referenced above ([scu.edu/cas/internal/protocols—procedures](http://scu.edu/cas/internal/protocols—procedures).) The faculty should copy the chair on the confirmation email so that the chair may complete the Chair Recommendation Form (also a Google Form). Except in extraordinary circumstances, the request should be made to the dean well before the cost is incurred.

Within the limits imposed by budgetary constraints, at most, one grant of up to \$1,000 is allowed per fiscal year for senior lecturers, \$500 for lecturers, and \$250 for academic year adjunct lecturers (AYALs). Rarely are these provided on an annual basis. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources and the budget provided.

***Start-Up Funds for Equipment and Supplies.*** New faculty can negotiate with the dean for start-up funds at the time of their offer of employment. A detailed list of anticipated expenses will be required to determine the appropriate level of funding. Start-up funds are typically used to purchase specialized equipment and supplies or to support minor construction of studio or lab space as might be required in the sciences or the arts. Start-up funds have ranged from \$0 - \$75,000 over the years. New computers are to be paid for from startup funds or professional development grants. Unlike professional development funds, **start-up funds must be used in the first two years of the faculty member's appointment.** No start-up funds carry over for use after the second year. After two years faculty are expected to take secure external and internal resources. Their ability to obtain these internal and external resources is an expectation in many departments in the tenure and promotion process. Start-up funds will not be made available until the faculty member begins his or her appointment (typically September 1).

***Tenure Stream Faculty Professional Development Grants.*** Newly hired assistant, associate, and full professors will receive \$6,000 in professional development funds for faculty starting fall 2007 or later. These funds are typically used by faculty to purchase office computer equipment, software, books, and other expenses that support research and teaching. For untenured faculty, the funds are available only during the probationary years. No professional development funds carry over for use after receiving tenure. For newly

hired faculty with tenure, the funds must be spent within five years. Professional development funds will not be made available until the faculty member begins his or her appointment (typically September 1).

**Lecturers (renewable and fixed-term):** Lecturers and fixed-term Adjunct Lecturers are eligible to *apply* for professional development funds from the dean's office. The faculty member should submit the request to the senior assistant dean with a description of the project, the relevance to the description above, and a budget. The faculty should copy the chair on the email. Except in extraordinary circumstances, the request should be made to the dean well before the cost is incurred. Grants of \$250 are typically available for fixed-term Adjunct Lecturers and \$500 for Lecturers. Only one grant is allowed per year of employment and all requests must be made before June 20. Each grant must be spent in the fiscal year awarded, i.e., before June 30. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources and the budget provided.

**Office Computer and Furniture:** For tenured or tenure-track faculty, the College will typically provide an office and furniture (not necessarily new items). New faculty are expected to use their professional development money for a new computer if the department does not have one to offer. Departments may pay for computers for new faculty. The dean's office will not pay for computers for faculty.

**Department Chair Support:** The dean recognizes the importance of providing support for department chairs to assist chairs in maintaining a productive scholarly agenda. Dean's grants are available for student research assistants or other support. Grants are typically range from \$1000 to \$5000. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**Technology Resources:** The College has resources available for technology upgrades, repair, and other needs not typically eligible under University technology grants. Grants vary in amount. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**Program Review and Improvement:** The dean, in collaboration with the senior vice provost, provides \$6,500 for the formal external review process. Reviewers are paid \$1000 per day for up to two days (total of \$4,000). The remaining \$2,500 is allocated for travel, hotel, meals, and other expenses related to the reviewers visit. Allocations are processed annually by the dean's office. Any questions can be referred to the senior assistant dean.

**Undergraduate Research:** The dean recognizes the importance of providing support for undergraduate research. The dean provides support for undergraduate research, primarily for student wages, with grants of up to \$5,000. If sufficient resources are available, the dean also provides travel support of up to \$750 for students presenting at national and international academic conferences or meetings. Students must either co-present with campus faculty mentor/sponsor, or be nominated by SCU faculty, or be the successful choice after a competitive academic process. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**Assessment:** The dean recognizes the importance of annual assessment activities and will ensure that a dean's grant starts the year with a balance of at least \$2,000 annually to all departments to support their assessment activities. Departments can use these funds for, among other things, to attend conferences, gather information from other schools, to provide meals for rubric scoring meetings, student wages for students to gather papers, etc.

**Academic Excellence:** The dean provides opportunities for faculty and staff to contribute to programs and initiatives that are a priority of the College including Inclusive Excellence, Campus Sustainability, and Undergraduate Research. The dean may provide support in the form of a grant, the allocation of other resources such as faculty release time or staff support, or a combination or a grant and other resources. In addition, the dean encourages the strategic development of distinctive programs and initiatives that will enhance and strengthen academic excellence. Recent examples include support for the California Studies

Initiative, the formal development of a University Writing Program, new courses in Arabic and Middle Eastern studies, and a review of archaeology laboratories across the country to enhance and better integrate archaeology into the undergraduate experience. Support has ranged from \$1,000 to over \$50,000. Furthermore, the dean provides small grants up to \$10,000 for activities related to program review and improvement. Grants have included travel support for faculty to visit other institutions, travel support for faculty to attend conferences or workshops, and support for on-campus workshops or consultants. Requests are made directly to the senior assistant dean and the amount awarded depends on the availability of resources.

**College of Arts and Sciences Dean's Grant Requests Checklist  
(See Google Form)**

See the Google Form on the College's website. [www.scu.edu/cas/internal/protocols--procedures](http://www.scu.edu/cas/internal/protocols--procedures).

## Dean's Grant and Award Conditions

Some latitude in carrying out your project is reasonable and expected. Any substantial deviation from the project as described in your proposal, however, must be approved in advance by the dean.

**Please note: Your department is responsible for any overdraft or other financial risk associated with this grant.**

**Equipment and software purchased with grant funds remain the property of the University.** When books are purchased with grant funds, they should ordinarily be ordered through the appropriate University library for the permanent collection. All purchases and reimbursements for expenditures must be made in accordance with University policy and procedures.

**Any funds unspent by the expiration date will be returned automatically to the College unless the dean has granted an extension.**

Any publication resulting from your project should acknowledge the grant by name and state that it was awarded by the College of Arts and Sciences at Santa Clara University.

If your grant is for a research project, you are strongly encouraged to work with the Sponsored Projects Office to develop a plan for obtaining future external funding for your research.

Research that entails the use of human subjects, laboratory animals, radiological hazards, biohazards, or recombinant DNA must comply with University policies and external requirements. Please consult the Faculty Handbook sections 3.7.7-3.7.10 for information on policies involving Human Subjects, Biosafety, and Animal Care and Use.

**Within one month of completing your project you should submit a brief report to your chair and dean.** This report should summarize your findings, cite any publications or other products of your work, and indicate the value of the grant to your research and teaching.

You will not be eligible for another dean's grant until you have submitted a final report.

Consistent failure by the grant recipient to manage grant finances within these criteria or within budget could result in the suspension of grant privileges by the dean.

Questions about these guidelines should be directed to the senior assistant dean at extension 4455.

# College Procedures for Dean’s Grants, Start-up Awards, and Professional Development Grants

(Based on the University internal grants procedures)  
(Revised September 2016)

## Grants and Awards

**Dean’s Grant** requests should be submitted directly to the senior assistant dean. Please see the Guidelines and Policies on Dean’s Grants and Start Up on page 95.

**Professional Development Grants.** Please see the Guidelines and Policies on Dean’s Grants and Start Up on page 95. As noted there, newly hired assistant, associate, and full professors will receive \$5,000 in professional development funds. For untenured faculty, the funds are available only during the probationary years. For newly hired faculty with tenure, the funds must be spent within five years.

Lecturers and adjunct faculty are eligible to apply for professional development funds from the dean’s office. Grants of \$250 are typically available fixed-term Adjunct Lecturers, while Lecturers are eligible for \$500 per year. Only one grant is allowed per year of employment. Each grant must be spent in the fiscal year awarded. Requests can be submitted directly to the senior assistant dean.

## Process

|   |  |
|---|--|
| Faculty Member                          | Submits the request to senior assistant dean via Google Form ( <a href="http://www.scu.edu/cas/internal/protocols--procedures">www.scu.edu/cas/internal/protocols--procedures</a> ).   |
| Chair/Program Director                  | Submits Chair Recommendation form (Google Form)( <a href="http://www.scu.edu/cas/internal/protocols--procedures">www.scu.edu/cas/internal/protocols--procedures</a> )  |
| Senior assistant dean                   | Reviews grant proposals and approves or disapproves funding. Consults dean as needed.  |
| Senior assistant dean or assistant dean | For approved grants, the dean’s office sends email notification to faculty   |
| Senior assistant dean or assistant dean | Determines Accounting Distribution String for each grant recipient.<br><br><div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 10px auto;"> <b>FUND – DEPT – PROGRAM – ACTIVITY- CLASS-PROJECT ID</b> </div> <p><b>FUND:</b> Use grant fund number associated with the source fund<br/> <b>DEPT:</b> Academic Department of the grant recipient<br/> <b>PROGRAM:</b> RSCH<br/> <b>ACTIVITY:</b> leave this field blank<br/> <b>CLASS:</b> leave this field blank<br/> <b>PROJECT ID:</b> use next in series</p> |

|   |   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
|---|---|------|-------------------------|----------------------|--|------------|---|------------|----------------------------------|--------|--|---------------|---|---------------------|-------------------------|--------------------------|---|---------------------------------|--------------------------|-----------------|--|-----------------------|-----------------------------------|----------------------------------|--|---|--|--|--|
| Senior assistant dean or assistant dean                                     | <p>Completes the <b>Dean's Grant Notice</b> for each grant recipient.</p> <table border="1" data-bbox="483 258 1369 1297"> <tr> <td data-bbox="483 258 808 304">Date</td> <td data-bbox="808 258 1369 304">Date form is completed.</td> </tr> <tr> <td data-bbox="483 304 808 350">Full Name/First Name</td> <td data-bbox="808 304 1369 350">Full name/First Name of grant recipient.</td> </tr> <tr> <td data-bbox="483 350 808 396">Department</td> <td data-bbox="808 350 1369 396">Grant Recipient's principal department.</td> </tr> <tr> <td data-bbox="483 396 808 443">Grant Name</td> <td data-bbox="808 396 1369 443">e.g., International Travel Grant</td> </tr> <tr> <td data-bbox="483 443 808 489">Amount</td> <td data-bbox="808 443 1369 489">This is the total amount authorized by the associate dean for this grant proposal.</td> </tr> <tr> <td data-bbox="483 489 808 535">Project Title</td> <td data-bbox="808 489 1369 535">Please refer to the grant proposal for the project title.</td> </tr> <tr> <td data-bbox="483 535 808 581">Distribution String</td> <td data-bbox="808 535 1369 581">See instructions above.</td> </tr> <tr> <td data-bbox="483 581 808 630">Prime Account and Amount</td> <td data-bbox="808 581 1369 630">Please refer to the completed <b>Proposed Budget</b> form, or consult senior assistant dean in the case of partial funding.</td> </tr> <tr> <td data-bbox="483 630 808 676">Senior assistant dean/extension</td> <td data-bbox="808 630 1369 676">Your name and extension.</td> </tr> <tr> <td data-bbox="483 676 808 722">Expiration Date</td> <td data-bbox="808 676 1369 722">This is the last day of the fiscal year in which the project is due to be completed.</td> </tr> <tr> <td data-bbox="483 722 808 768">Senior assistant dean</td> <td data-bbox="808 722 1369 768">Person who authorizes this grant.</td> </tr> <tr> <td data-bbox="483 768 808 814">Dept. chair and Admin. Assistant</td> <td data-bbox="808 768 1369 814">Dept. chair and Administrative Assistant of the Grant Recipient.</td> </tr> <tr> <td data-bbox="483 814 808 861">Source Fund Accounting Distribution String (<i>under Office Use Only</i>)</td> <td data-bbox="808 814 1369 861">Fill in the Source Fund Accounting Distribution String which is linked to this grant fund.</td> </tr> <tr> <td data-bbox="483 861 808 907">Project Description (<i>under Office Use Only</i>)</td> <td data-bbox="808 861 1369 907">Fill in the first initial and last name of the grant recipient in uppercase letters followed by any key words in the proposal in lowercase letters. Note: This cannot exceed 30 characters. Example: JSMITHforensiccomputing</td> </tr> </table> | Date | Date form is completed. | Full Name/First Name | Full name/First Name of grant recipient. | Department | Grant Recipient's principal department. | Grant Name | e.g., International Travel Grant | Amount | This is the total amount authorized by the associate dean for this grant proposal. | Project Title | Please refer to the grant proposal for the project title. | Distribution String | See instructions above. | Prime Account and Amount | Please refer to the completed <b>Proposed Budget</b> form, or consult senior assistant dean in the case of partial funding. | Senior assistant dean/extension | Your name and extension. | Expiration Date | This is the last day of the fiscal year in which the project is due to be completed. | Senior assistant dean | Person who authorizes this grant. | Dept. chair and Admin. Assistant | Dept. chair and Administrative Assistant of the Grant Recipient. | Source Fund Accounting Distribution String ( <i>under Office Use Only</i> ) | Fill in the Source Fund Accounting Distribution String which is linked to this grant fund. | Project Description ( <i>under Office Use Only</i> ) | Fill in the first initial and last name of the grant recipient in uppercase letters followed by any key words in the proposal in lowercase letters. Note: This cannot exceed 30 characters. Example: JSMITHforensiccomputing |
| Date  | Date form is completed.   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Full Name/First Name  | Full name/First Name of grant recipient.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Department  | Grant Recipient's principal department.   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Grant Name  | e.g., International Travel Grant  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Amount  | This is the total amount authorized by the associate dean for this grant proposal.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Project Title   | Please refer to the grant proposal for the project title.   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Distribution String   | See instructions above.   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Prime Account and Amount  | Please refer to the completed <b>Proposed Budget</b> form, or consult senior assistant dean in the case of partial funding.   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Senior assistant dean/extension   | Your name and extension.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Expiration Date   | This is the last day of the fiscal year in which the project is due to be completed.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Senior assistant dean   | Person who authorizes this grant.   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Dept. chair and Admin. Assistant  | Dept. chair and Administrative Assistant of the Grant Recipient.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Source Fund Accounting Distribution String ( <i>under Office Use Only</i> ) | Fill in the Source Fund Accounting Distribution String which is linked to this grant fund.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Project Description ( <i>under Office Use Only</i> )                        | Fill in the first initial and last name of the grant recipient in uppercase letters followed by any key words in the proposal in lowercase letters. Note: This cannot exceed 30 characters. Example: JSMITHforensiccomputing  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Senior Assistant dean   | Sends 1) <b>Dean's Grant Notice</b> to Grant Recipient, with a copy to <b>the</b> chair, Administrative Assistant and University Finance Office.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| University Finance Office   | Sets up project ID and combination rule, completes cash transfer, and establishes budget.   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Recipient   | Completes all expenditure forms, using Concur with department AA assistance, if appropriate.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Dean's office   | Runs Project Summary Report and sends a copy to each Grant Recipient twice a year.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Dean's office   | Sends e-mail notification in May to faculty with expiring grants. If there is a positive balance remaining, and faculty member has additional expenditures for this grant, then he/she may request a grant extension from the senior assistant dean.  |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |
| Recipient   | Grant Recipient may make a request to extend expiration date.   |      |                         |                      |  |            |   |            |                                  |        |  |               |   |                     |                         |                          |   |                                 |                          |                 |  |                       |                                   |                                  |  |   |  |  |  |

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| Senior assistant dean or assistant dean | Notifies faculty member whether the grant will be extended.  |
| Senior assistant dean or assistant dean | If grant will be extended, senior assistant dean or assistant dean notifies University Finance Office via e-mail of the faculty member's name, the Project ID#, and the new Expiration Date.   |
| Senior assistant dean or assistant dean | Reconciles year-end surplus/deficit for expiring grants. In the case of a surplus, submits an FTAR form to return unused funds to the source fund. In the case of a deficit, submits an FTAR form to correct deficit balance. Determines total available in grant fund for new fiscal year. Reconciles list of Project ID's. |

### **Instructions regarding overdrafts**

A member of the University Finance Office will contact the senior assistant dean when a Grant Recipient has incurred an overdraft. When this occurs, the senior assistant dean takes the following steps:

- 1) Sends an e-mail to alert the Grant Recipient that an overdraft has occurred and asks if there is an alternate funding source. The Grant Recipient is asked to respond within two weeks. Copy member of the University Finance Office.
- 2) If there is no response from the Grant Recipient after two weeks, the senior assistant dean sends a second e-mail to remind the Grant Recipient that if an alternate source of funding is not available, the Grant Recipient's department or school will be charged for the overdraft. The Grant Recipient will be given another week to provide the account number before the department or school is charged. Copy member of UFO, senior assistant dean, and department chair.
- 3) The University Finance Office charges the overdraft to the appropriate distribution string (Grant Recipient's department or alternate funding source).



## College Procedures for Faculty and Academic Staff Search Expenses

(Established September 2004; Revised October 2006, and 2012; amounts reduced in January 2017)

### Search Funds

The College requires departments to conduct fair and complete search processes for all faculty and academic staff positions. Unless an exception is approved in advance by the senior assistant dean, any overage in the search budget is the responsibility of the department conducting the search. The College grants department chairs funds to conduct authorized searches according to the following scheme:

| Type of Search                          | Award                   |
|---|-------------------------|
| Tenure-stream                           | \$8,000                 |
| Lecturer (renewable)                    | \$5,000                 |
| Post-Doctoral Fellow                    | \$5,000                 |
| Fixed-term Adjunct Lecturer (multiyear) | \$500                   |
| Fixed-term Adjunct Lecturer (one year)  | \$350                   |
| Quarterly Adjunct Lecturers             | \$100 (more if over 10) |
| Academic Staff                          | \$3,000                 |

### Process

|   |   |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
|---|---|------|-------------------------|--------------|---|------------|--|------------|--------------|--------|--------------------------------------|---------------------|-------------------------|---------------------------------|--------------------------|-----------------|---|-----------------------|-----------------------------------|
| Senior assistant dean or assistant dean | <p>Determines Accounting Distribution String</p> <p style="text-align: center;"><b>FUND – DEPT – PROGRAM – ACTIVITY- CLASS-PROJECT ID</b></p> <p><b>ACCOUNT: RECRUT</b><br/> <b>FUND:</b> Use grant fund number associated with the source fund<br/> <b>DEPT:</b> Academic Department of the grant recipient<br/> <b>PROGRAM:</b> RSCH<br/> <b>ACTIVITY:</b> leave this field blank<br/> <b>CLASS:</b> leave this field blank<br/> <b>PROJECT ID:</b> use next in series</p>  |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Senior assistant dean or assistant dean | <p>Completes the <b>Search Funds Notice</b> for each grant recipient.</p> <table border="1" style="width: 100%;"> <tbody> <tr> <td>Date</td> <td>Date form is completed.</td> </tr> <tr> <td>Chair's Name</td> <td>Full name/First Name of department chair.</td> </tr> <tr> <td>Department</td> <td>Department or program conducting the search.</td> </tr> <tr> <td>Grant Name</td> <td>Search Funds</td> </tr> <tr> <td>Amount</td> <td>This is the total amount authorized.</td> </tr> <tr> <td>Distribution String</td> <td>See instructions above.</td> </tr> <tr> <td>Senior assistant dean/extension</td> <td>Your name and extension.</td> </tr> <tr> <td>Expiration Date</td> <td>This is the last day of the fiscal year in which the search is due to be completed.</td> </tr> <tr> <td>Senior assistant dean</td> <td>Person who authorizes this grant.</td> </tr> </tbody> </table> | Date | Date form is completed. | Chair's Name | Full name/First Name of department chair. | Department | Department or program conducting the search. | Grant Name | Search Funds | Amount | This is the total amount authorized. | Distribution String | See instructions above. | Senior assistant dean/extension | Your name and extension. | Expiration Date | This is the last day of the fiscal year in which the search is due to be completed. | Senior assistant dean | Person who authorizes this grant. |
| Date                                    | Date form is completed.   |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Chair's Name                            | Full name/First Name of department chair.   |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Department                              | Department or program conducting the search.  |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Grant Name                              | Search Funds  |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Amount                                  | This is the total amount authorized.  |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Distribution String                     | See instructions above.   |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Senior assistant dean/extension         | Your name and extension.  |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Expiration Date                         | This is the last day of the fiscal year in which the search is due to be completed.   |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |
| Senior assistant dean                   | Person who authorizes this grant.   |      |                         |              |   |            |  |            |              |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |

|   |  |  |
|---|--|--|
|   | Source Fund Accounting Distribution String<br><i>(under Office Use Only)</i>   | Fill in the Source Fund Accounting Distribution String |
|   | Project Description<br><i>(under Office Use Only)</i>  | Search description                                     |
| Senior assistant dean or assistant dean | Sends <b>Search Fund Notice</b> with copies to department Administrative Assistant and University Finance Office.  |  |
| University Finance Office               | Sets up project ID and combination rule, completes cash transfer, and establishes budget.  |  |
| Chair                                   | Completes all expenditure forms, with department AA assistance, if appropriate.  |  |
| Dean's office                           | Runs Project Summary Report and sends a copy to each Grant Recipient twice a year.   |  |
| Chair                                   | Chair may make a request to extend expiration date.  |  |
| Senior assistant dean or assistant dean | Notifies chair whether the search funds will be extended.  |  |
| Senior assistant dean or assistant dean | If grant will be extended, senior assistant dean or assistant dean notifies University Finance Office via e-mail of the faculty member's name, the Project ID#, and the new Expiration Date.   |  |
| Senior assistant dean or assistant dean | Reconciles year-end surplus/deficit for expiring grants. In the case of a surplus, submits an FTAR form to return unused funds to the source fund. In the case of a deficit, submits an FTAR form to correct deficit balance. Determines total available in grant fund for new fiscal year. Reconciles list of Project ID's. |  |

### Instructions regarding overdrafts

A member of the University Finance Office will contact the senior assistant dean when a Grant Recipient has incurred an overdraft. When this occurs, the senior assistant dean takes the following steps:

- 1) Sends an e-mail to alert the Grant Recipient that an overdraft has occurred and asks if there is an alternate funding source. The Grant Recipient is asked to respond within two weeks. Copy member of the University Finance Office.
- 2) If there is no response from the Grant Recipient after two weeks, the senior assistant dean sends a second e-mail to remind the Grant Recipient that if an alternate source of funding is not available, the Grant Recipient's department will be charged for the overdraft. The Grant Recipient will be given another week to provide the account number before the department or school is charged. Copy member of UFO, senior assistant dean, and department chair.
- 3) The University Finance Office charges the overdraft to the appropriate distribution string (Grant Recipient's department or alternate funding source).

## College Procedures for Program Review and Improvement Grants

(Established September 2004 and October 2008)

### Program Review and Improvement Grants

The College requires departments and programs to participate in on-going program review and improvement efforts. The College awards small grants up to \$10,000 for activities related to program review and improvement both during the self-study and external review year and at other times. Grants have included travel support for faculty to visit other institutions, travel support for faculty to attend conferences or workshops, and support for on-campus workshops or consultants. The College also provides support for the self-study process and for the external review. The dean, in collaboration with the senior vice provost, provides \$6,500 for the formal external review process. Reviewers are paid \$1000 per day for up to two days (total of \$4,000). The remaining \$2,500 is allocated for travel, hotel, meals, and other expenses related to the reviewers visit. Requests are made either with the self-study plan or directly to the senior assistant dean.

### Process

|  |   |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
|--|---|--|------|-------------------------|--------------|---|------------|--|------------|--------------------------------|--------|--------------------------------------|---------------------|-------------------------|---------------------------------|--------------------------|-----------------|---|-----------------------|-----------------------------------|--|--|---|--|
| Senior assistant dean or assistant dean                                      | Determines Accounting Distribution String for each grant recipient<br><br><div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>FUND – DEPT – PROGRAM – ACTIVITY- CLASS-PROJECT ID</b> </div> <p> <b>FUND:</b> Use grant fund number associated with the source fund<br/> <b>DEPT:</b> Academic Department of the grant recipient<br/> <b>PROGRAM:</b> RSCH<br/> <b>ACTIVITY:</b> leave this field blank<br/> <b>CLASS:</b> leave this field blank<br/> <b>PROJECT ID:</b> use next in series                 </p>  |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Senior assistant dean or assistant dean                                      | Completes the <b>Program Review Grant Notice</b> for each grant recipient. <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Date</td> <td>Date form is completed.</td> </tr> <tr> <td>Chair’s Name</td> <td>Full name/First Name of department chair. (or other faculty member in the department)</td> </tr> <tr> <td>Department</td> <td>Department or program conducting the search.</td> </tr> <tr> <td>Grant Name</td> <td>Program Review and Improvement</td> </tr> <tr> <td>Amount</td> <td>This is the total amount authorized.</td> </tr> <tr> <td>Distribution String</td> <td>See instructions above.</td> </tr> <tr> <td>Senior assistant dean/extension</td> <td>Your name and extension.</td> </tr> <tr> <td>Expiration Date</td> <td>This is the last day of the fiscal year in which the search is due to be completed.</td> </tr> <tr> <td>Senior assistant dean</td> <td>Person who authorizes this grant.</td> </tr> <tr> <td>Source Fund Accounting Distribution String<br/><i>(under Office Use Only)</i></td> <td>Fill in the Source Fund Accounting Distribution String</td> </tr> <tr> <td>Project Description<br/><i>(under Office Use Only)</i></td> <td>Program review and improvement project</td> </tr> </table> |  | Date | Date form is completed. | Chair’s Name | Full name/First Name of department chair. (or other faculty member in the department) | Department | Department or program conducting the search. | Grant Name | Program Review and Improvement | Amount | This is the total amount authorized. | Distribution String | See instructions above. | Senior assistant dean/extension | Your name and extension. | Expiration Date | This is the last day of the fiscal year in which the search is due to be completed. | Senior assistant dean | Person who authorizes this grant. | Source Fund Accounting Distribution String<br><i>(under Office Use Only)</i> | Fill in the Source Fund Accounting Distribution String | Project Description<br><i>(under Office Use Only)</i> | Program review and improvement project |
| Date   | Date form is completed.   |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Chair’s Name   | Full name/First Name of department chair. (or other faculty member in the department)   |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Department   | Department or program conducting the search.  |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Grant Name   | Program Review and Improvement  |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Amount   | This is the total amount authorized.  |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Distribution String  | See instructions above.   |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Senior assistant dean/extension  | Your name and extension.  |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Expiration Date  | This is the last day of the fiscal year in which the search is due to be completed.   |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Senior assistant dean  | Person who authorizes this grant.   |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Source Fund Accounting Distribution String<br><i>(under Office Use Only)</i> | Fill in the Source Fund Accounting Distribution String  |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |
| Project Description<br><i>(under Office Use Only)</i>                        | Program review and improvement project  |  |      |                         |              |   |            |  |            |                                |        |                                      |                     |                         |                                 |                          |                 |   |                       |                                   |  |  |   |  |

|   |  |
|---|--|
| Senior assistant dean or assistant dean | Sends <b>Program Review Grant Notice</b> with copies to department Administrative Assistant and University Finance Office.   |
| University Finance Office               | Sets up project ID and combination rule, completes cash transfer, and establishes budget.  |
| Chair or faculty member                 | Completes all expenditure forms, with department AA assistance, if appropriate.  |
| Dean's office                           | Sends e-mail notification in May to faculty with expiring grants. If there is a positive balance remaining, and faculty member has additional expenditures for this grant, then he/she may request a grant extension from the senior assistant dean.   |
| Chair or Faculty member                 | Chair or faculty member may make a request to extend expiration date.  |
| Senior assistant dean or assistant dean | Notifies chair or faculty member whether the grant will be extended.   |
| Senior assistant dean or assistant dean | If grant will be extended, senior assistant dean or assistant dean notifies University Finance Office via e-mail of the faculty member's name, the Project ID#, and the new Expiration Date.   |
| Senior assistant dean or assistant dean | Reconciles year-end surplus/deficit for expiring grants. In the case of a surplus, submits an FTAR form to return unused funds to the source fund. In the case of a deficit, submits an FTAR form to correct deficit balance. Determines total available in grant fund for new fiscal year. Reconciles list of Project ID's. |

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- 2) If there is no response from the Grant Recipient after two weeks, the senior assistant dean sends a second e-mail to remind the Grant Recipient that if an alternate source of funding is not available, the Grant Recipient's department or school will be charged for the overdraft. The Grant Recipient will be given another week to provide the account number before the department or school is charged. Copy member of UFO, senior assistant dean, and department chair.
- 3) The University Finance Office charges the overdraft to the appropriate distribution string (Grant Recipient's department or alternate funding source).

**College Procedures for Faculty Relocation**  
(Established September 2004; Revised 2006 and & 2008, 2020)

Effective January 1, 2019, relocation awards are must be included in the offer letter and are paid out as stipends/salary in the first September paycheck. The award is subject to taxes and withholding.

## Calculation of Departmental/Program Operating Budgets

Operating budgets allocated to each department support the basic functions of the department (phone, letterhead, postage, copy costs, etc.), nourish its intellectual life (guest speakers, undergraduate research, etc.), and support the professional development of the faculty and staff, e.g., travel to academic meetings to present one's research, workshops for staff on computer skills.

The following is the internal reallocation formula used by the dean's office to reallocate discretionary budgets within the college, effective fiscal year 2011.

- A certain amount per the number of tenured and tenure-track faculty; a lower amount per Senior Lecturer, lab instructors, Lecturers, adjunct faculty, and academic staff
- Resource factors were added as follows:
  - Over 200 majors
  - Over 300 majors
  - Over 100 majors
  - Over 75 minors
  - Adjunct Lecturer dependence (2-4 lecturers)
  - Chronic adjunct lecturer dependence (5-9 lecturers)
  - Extreme adjunct lecturer dependence (over 10)
  - 12,000 units or over 100 section target
  - Between 5-14 QALs
  - Over 15 QALs
  - Single adjunct lecturer
- Maximum decrease of no more than 10% (on the non-lab portion of the budget) as part of the initial reallocation. This assumes that there are no university-wide budget cuts to the College's allocation. This provision is suspended for the duration of the Covid-19 crisis.

Program, Institute, and Center budgets were based on several resource factors including number of faculty, associated degree (minor or major), "stand-alone" office support, and specific programmatic needs.

**Determining Budget Returns and Summer Rebates**  
**(Revised 12/2010; updated September 2014)**  
**Operating Return is suspended for FY20 and FY21**

**Summer Rebates are now under the discretion of the Summer Director, who reports to the Drahmman Center.**

Operating Return:

- 1) We will continue the “Return” program where we move funds from the College’s reserve fund to the department’s grants in the amount equal to the fiscal year end surplus (less than \$500 zone of indifference) up to a maximum of \$3000 per year. For FY12 going forward, the College will keep track of the department’s surplus and will place that amount into a Departmental dean’s grant. That grant will have a maximum balance at any time of \$10,000. Each department will be limited to one grant.
- 2) The grant may be used by the department for travel, professional development, curricular or co-curricular activities that would benefit the students, or faculty of the department.
- 3) As is the case now, we do not rebate surpluses in the “lab or production” part of budgets because we expect those funds to be spent on our students. As is the case now, if a department has an operating budget surplus of over \$3,000, that amount is forfeited. Multiple years of large surpluses- absent special circumstances- could well indicate the need to adjust the department budget.

## Guest Speakers / Honorarium Procedures (Established Spring 2006)

The University has greatly simplified procedures for paying individuals for *one-time events/activities*. The professional services form is no longer required. The "speaker/honorarium approval form" is now all that is required by accounts payable (*note: no signature is required from the individual receiving payment*; the form is available on the SCU finance office website: <http://www.scu.edu/finance/forms/index.cfm>). As long as the person has a social security number and an address in the United States, the basic process is to complete the approval form and a quick voucher and deliver those materials to the dean's office. An associate dean or the senior assistant dean will approve the expense (or not) and forward the documents to accounts payable. This process can proceed *before or after* the event as long as the person uses an address in the U.S. and has a social security number.

If the person has a non-U.S. address, there are two additional forms (IRS 8233 and W-8; available on the SCU finance office website) required and those forms should accompany the approval form and quick voucher to the dean's office *before* the event occurs. If the person does not have a social security number, then he/she may not be eligible to work in the U.S. and we may not be legally able pay him/her. In that case, please contact the senior assistant dean to determine how to proceed *at least two months before* the event.



## **Current Faculty or Staff Members Payment Procedures** (Established Spring 2006)

If a current SCU employee (faculty or staff) is being considered to receive a payment for an additional service or activity, then payment must be made through a payroll action request (PAR) prepared by the dean's office. Such a payment CANNOT go through Accounts Payable.

For such payments, please email the dean's office (typically the office manager) details including the employee's name, SCU ID number, reason for payment, amount of payment, and fund distribution for consideration before the person starts the assignment or activity. Keep in mind, all such payments are considered supplemental pay and are taxed at the supplemental pay rate (approximately 40%). PARs are submitted by the dean's office on the 1<sup>st</sup> and 15<sup>th</sup> of each month. The PAR due on the 1<sup>st</sup> results in payment on the 22<sup>nd</sup> and the PAR due on the 15<sup>th</sup> results in payment on the 7<sup>th</sup> of the next month. All payments to current employees will be reviewed by an associate dean or the senior assistant dean before the payment is processed.

## Independent Contractors Procedures

(Established Spring 2006)

As currently defined by IRS codes, these relationships should involve contracting a person for a specific project in a defined timeframe with an agreed upon product. If a person works frequently with a department or program and is not incorporated as a business (does not invoice the University for a service as a business), then please complete in independent contractor request form (available at <http://www.scu.edu/finance/forms/index.cfm>) and discuss the materials with the senior assistant dean **before** agreeing to any sort of arrangement.

**Please note that starting July 1, 2013, General Counsel needs to review all requests. Please send all requests to [contracts@Scu.edu](mailto:contracts@Scu.edu) in at least 2 weeks before the services begin. Services should not begin until a contract is fully signed.**

## **Signature Authority for all Contracts**

(Created by General Counsel September 2014)

The University has established the parameters under which any contract that bind the University to any action may be signed by employees of the University.

**Specifically, no faculty or staff other than the dean (or a designate) is permitted to sign contracts on behalf of the department, program or College.** The dean may designate an associate or assistant dean to sign contracts provided the dean has given written notice to the Office of the General Counsel.

Please note that if you wish a contract to be signed on behalf of your department or program, the assistant dean will need to ask the Risk Management department and Office of General Counsel to review it first. For that reason, please leave at least two weeks for this review.

## **Signature Policy for Reimbursements**

(Established Spring 2006)

In a department or program, any reimbursement to faculty and staff (any instance where quick voucher will be made for payment to a faculty or staff member) needs to be approved via the Concur system by the department chair (supervisor of the faculty and staff of the unit). The approval process can be 1) signature of business expense form; 2) signature on the quick voucher approval; or 3) signature on a receipt or departmental form. Similarly, reimbursements to department chairs must be signed by the dean (supervisor of the chair) or a designated associate dean or the senior assistant dean.

## **College Guidelines on Volunteers**

The College recognizes the desire and need for departments, programs and co-curricular units to bring a non-affiliate (i.e., non-student and non-employee) to campus to take part in an enterprise or undertake a task without the expectation of compensation – either salary or course credit. If the person is on campus for at least three consecutive days, the university classifies the person as a volunteer and requires a written record specifying purpose, dates and sponsor.

Examples of volunteers include, but are not limited to, the following: an usher for a performing arts event, assisting a faculty member with his/her summer research activity or serving as a committee member for the Osher Lifelong Learning Institute.

When considering a volunteer, the faculty or staff member must contact the assistant dean responsible for second-level supervision. The assistant dean will email forms to the faculty or staff member. The forms ask for a faculty sponsor, task(s) to be performed, dates of service, release of liability, health and safety checklist and, if the volunteer is under the age of 18, parental consent. Completed forms are kept by the dean's office.

The sponsoring department, program, or co-curricular unit is responsible for resourcing and supervising the volunteer(s).

## College Guidelines and Policies on Fundraising

(September 2011; Revised September 2016)

**All Departments, Faculty, Staff, and Consortia:** The College of Arts and Sciences supports external fundraising for faculty projects, programs within departments, and larger College initiatives which respond to the priorities of the College and the University. In order to do so effectively, efforts will be coordinated through the Dean's office.

Departments, Faculty, Staff, and Consortia wishing to solicit funds from outside funding sources including private foundations, corporations, and individuals, must follow College fundraising procedures:

- 1) First contact the Director of External Relations in the College with any project ideas or potential donors—individuals, corporations, and/or foundations.
- 2) Based on the information received, the Director of External Relations will consult with the appropriate department Chair, program Director, and/or Dean and advise and/or develop an initial plan for moving the project forward in collaboration with the requesting party.
- 3) After the Dean has approved the initial plan, the Director of External Relations will advise the requesting group on next steps. Next steps may include one or more of the following: Consultation with the Chair; further discussion in the Department; consultation with the Dean; consultation with the Office of Development; consultation with the Sponsored Projects Office; consultation with the College Leadership Board.
- 4) The Director of External Relations will then follow up with an appropriate and approved plan of action to include identification, cultivation, solicitation, and stewardship.
- 5) The requesting party will be expected to keep the Director of External Relations informed of progress on the project, including information on gifts, events, or formal communications, so that the College can be aware of these and provide appropriate support and notify other University departments as necessary.

Departments, Faculty, Staff, and Consortia wishing to solicit funds from government agencies may contact the Sponsored Projects Office directly.

## **College Guidelines and Policies on External Relations**

(Established September 2011)

**All Departments, Faculty, Staff, and Consortia:** The College of Arts and Sciences supports partnerships with local schools and organizations, community programs, corporations, and other universities which correspond to the priorities of the College and the University. In order to do so effectively, efforts will be acknowledged and/or coordinated through the Dean's office. Departments, Faculty, Staff, and Consortia who have developed or wish to develop partnerships in the community must follow College procedures:

- 1) Notify the Director of External Relations in the College of any current partnerships/relationships you have outside of the University and forward any documents that confirm or define the relationship.
- 2) Contact the Director of External Relations in the College when you are developing partnerships/relationships outside of the University.
- 3) Based on the information received, the Director of External Relations will then do nothing, advise, and/or develop an initial plan for strengthening the relationship.
- 4) Next steps may include one or more of the following: Consultation with the Dean; consultation with other departments in the College or other units on campus; consultation with the Office of Development; consultation with the Office of Marketing and Communications; consultation with the Office of the General Counsel.
- 5) If any action is required on behalf of the College, the Director of External Relations will then follow up with an appropriate and approved plan.