Guidelines for New Faculty Research Start-Up Funds

This document has been crafted in an effort to assist department chairs, program directors, and new faculty with appointments in Wake Forest College who were awarded research start-up funds as part of the terms of their hire. In all cases, individual faculty members are responsible for being aware of, and in compliance with, all federal, state, and university policies concerning the conduct of their programs of research, as well as all fiduciary protocols associated with the budgetary management of their research funds. This document is intended to provide the faculty member with information about the University and College requirements, in particular.

Creation of a Start-Up Account

Prior to the expenditure of any start-up research funds, a faculty member must obtain a Start-Up Account. The account information will be sent to the Business Manager, Administrative Coordinator, or Administrative Assistant in your department. All expenditures associated with the faculty member’s program of research will be charged to the designated Start-Up Account budget (the account will start with SU). A faculty member will have access to the funds beginning July 1 of their year of appointment with Wake Forest University. Funds will not be available prior to the start date of appointment.

Funding Period and Possible Extensions

The period of funding for research start-up may vary by individual faculty member as documented in the faculty member’s initial letter of appointment. Typically, however, funding is awarded for first two or three years of a new faculty member’s appointment within the College. Requests for extensions to the funding period are occasionally granted, if the request is well-justified. Requests for extensions must be submitted in writing, or by email attachment, to the Dean of the College, with an accompanying letter of support from the faculty member’s department chair or program director. Letters should be copied to the College Business Manager. Requests must include an explanation of why the funding has not been fully utilized, a detailed plan and explanation for how the requested extension for funding will be used, and a budgetary plan in support of the requested extension and proposed research effort. All requests for a no-cost extension must be submitted 45 days prior to the end date noted in the faculty member’s letter of appointment. Requests for extensions are made at the discretion of the Dean of the College.

Spending and Modifying the Budget

It is expected that the vast majority of all research funds will be used by the faculty member for the purposes delineated in the faculty member’s list of desired start-up research needs submitted to the Chair of the faculty member’s department during the hiring process. It is acknowledged that specific research needs (instrumentation, supplies, and miscellaneous materials) are likely to change from that presented in the initial list of desired research support. Towards that end, the faculty member is authorized to expend the funds in a manner that is consistent with the evolving needs in support of their research program. It is the responsibility of the faculty member, or their designated budget manager, to submit all relevant receipts and invoices to the Accounts Payable in Financial and Accounting Services in a timely manner.
following the expenditure of such funds. The Start-Up Research Account number assigned to the funds must be noted on all materials submitted for payment or reimbursement, along with an appropriate expense code, (which identifies the type of expense). It must be noted that expenditures from these funds must be consistent with federal and state statutes and WFU guidelines concerning fiduciary expenditures. The faculty member is advised to read the WFU Financial and Accounting Services Business Expenditures document regarding appropriate business expenditures. The document can be found at: http://www.wfu.edu/fas/ap/. In general, awards can be used to purchase research supplies, the acquisition of essential research instrumentation, for the maintenance of essential equipment, travel, or technical personnel. It is important that the expenditures be for truly legitimate research needs and not for such purchases as coffee makers, coffee, water dispensers, or faculty regalia. Charges for faculty salary and defrayal of professional society dues are also not allowed. Requests for reimbursements that are not consistent with the intended purpose of these funds will likely be denied. The faculty member should strive to expend the funds for the purposes articulated in the original delineation of research needs negotiated at the time of hire. Unless an extension has been granted, all unexpended funds at the expiration of the stated funding period will be returned to the unencumbered budget of the College.

**Regulatory Compliance**

As noted in the research requirements of the WFU Office of Research and Sponsored Programs, all projects involving the use of human or animal subjects, biohazards, radioactive materials, etc. must seek appropriate committee approval. Investigators must complete, or have earned certification in the required training of human subject and animal protection prior to undertaking their project. The complete set of ORSP guidelines and requirements can found at: http://www.wfu.edu/rsp/.

**Final Report**

Within 90 days after start-up funding concludes, a final progress report must be submitted to the Dean of the College summarizing the faculty member’s program of research, including research results in the form of publications, presentations, students trained, collaborators, and proposals that resulted from these funds. Additionally, the report should summarize the contribution to the overall professional development of the faculty member. The report should not exceed one single-spaced page in length.