Faculty Funds Guidelines

Effective July 1, 2018

Purpose: Support for teaching and research activities

The funds described below must be used for university purposes. Using these funds must follow applicable university policies[1]. Items purchased with these funds are DKU property[2] and must remain at DKU if the faculty member leaves the university. The specific requirements of sponsored research agreements should be followed with priority; it is the principal investigator's responsibility to make sure he or she understands the requirements of the sponsored research agreement, in consultation with the Research Support Office.

Fund Types:

1) Start-up Funds: Provided by the university at the time of appointment. The amount and duration of availability is specified in the faculty member's letter of appointment. Normally, these funds should be used by the end of the fiscal year (June 30th) of the specified duration but may be carried forward with special approval from the VCAA.
2) Professional Discretionary Funds: Provided by the university to each faculty member annually. These funds should be used by the end of the fiscal year (June 30th). Normally these funds cannot be carried forward unless specified in the letter of appointment.
3) Reserve Discretionary Funds: These are funds derived from external sources. Examples of such sources include, but are not limited to honoraria paid to the university to recognize a particular faculty member's contribution (article, talk, manuscript or program review, etc.), gifts designated for the support of a particular faculty member, program or department and not otherwise restricted as to purpose, residuals from sponsored research agreements provided the sponsor does not expect return of any residuals, honoraria paid directly to faculty members that may be used at the recipient's discretion
4) Other Discretionary Funds controlled by VCAA: The office of the VCAA controls a central research fund from which bridge-loans may be requested[3].

[1] DKU Reimbursement Guidelines and Travel and Hospitality Standard (under review)

[2] Unless otherwise specified by a donor or sponsored research agreement

[3] For more information see the DKU policy for Academic Salary Buyout, approved by the DKU Faculty on October 25th, 2017

Allowable Expenses:

- Computing and auxiliary equipment such as desktops, laptops, tablets, printers, scanners, cameras, presentation projectors, etc.
- Research related software packages, databases and computing services.
- Research equipment, equipment and space rental. Service contracts for equipment are normally covered by the operating funds of the research center or institute; faculty should obtain confirmation that a service contract can be covered, and approval from the center or institute director before purchasing equipment.
- Data, books for research or teaching including text books needed for class preparation, subscriptions, reprints of journal articles, library copying.
- Educational or professional advancement support related to the faculty member's discipline (e.g. online courses, workshops, class tuition)
- Journal submission fees, publishing fees.
- Dues for membership in professional associations.
- Office equipment, furniture and office supplies, in addition to what is provided in the office that you have been assigned and the standard supplies provided by the DKU Supply Room. All furniture purchases from a DKU fund must have prior approval from the Director of Operations.
- Hiring of personnel (including the provision of stipends to summer research students) based on DKU's HR guidelines[4].
- Travel to professional meetings or to sites where research or other scholarly activity is conducted, following the university's reimbursement guidelines and standards[1].
- Meals and refreshments for lab group meetings, journal clubs or seminars.
- Reasonable honorarium or fees for invited speakers.

Expenses other than the above will require prior written approval by the Vice Chancellor of Academic Affairs.
Some examples of inappropriate uses are items of personal gain including home equipment or furniture, services not directly related to university activities, assistance provided to students (such as tuition for courses), membership in airline travel clubs, upgraded travel or accommodations, individual holiday gifts, travel for family members or other non-Duke Kunshan associates who are not involved in the research or scholarly work, etc.

[4] DKU HR policy and guidelines (under review)

Control of Funds

The management authority for fund types (1), (2) and (4) is with the Vice Chancellor of Academic Affairs who can delegate the authority to others, while the faculty manage fund type (3). It is, however, incumbent on responsible officers in the finance office to provide oversight for use of the funds. In particular, finance officers must ensure that appropriate review and approval of the appropriate level and the supporting documents are followed.

Procedure for Reimbursement:

1. File the "Expense Report" in the NC online reimbursement and attach scanned copies of all supporting documents. Write the Doc No. issued by NC on the original supporting document and sign it. For reimbursement of expenditures made by faculty members or somebody else on behalf of the faculty members, a fapiao must be provided in addition to any other supporting documents.

2. Submit the original supporting documents to Finance

3. Please ensure that the submitted information is accurate and is done with your approval even if completed by someone else you designate.

All expenditures should follow university's regulations and procedures[5] .

a) Purchases over RMB 4,000 or USD 600 need to follow DKU procurement policies.
b) Honorariums & expenses paid to invited speakers or stipends/compensation to visiting faculty or researchers must be done so through Procurement if the compensations are over RMB 4,000 or USD 600; HR should be consulted when the independent service provider is a Mainland China Resident and he/she stays at DKU for over 30 days, or the independent service provider is a Non-Mainland China Resident and he/she stays at DKU for over 15 days.
c) Honorariums paid to other DKU personnel must be reported to HR in advance, and HR will add the payment to the recipient's salary.
d) Before purchasing computing and auxiliary equipment such as desktops, laptops, tablets, printers, scanners, cameras, presentation projectors, etc, research related software packages, databases and computing services, faculty members are requested to consult the Director of IT for better and effective computer hardware and software resources usage at the university.

[5] Including but not limited to DKU Reimbursement Guidelines and Procedures (under review), DKU HR policies (under review), and DKU Procurement Policies and Procedures (under review).

Business-related computers and other equipment, if purchased by start-up or discretionary funds, would be Duke Kunshan University property.

e) The discretionary fund of the on-board year will be prorated according to the following table.

On Board Date	Percentage
Jul-Sep	100%
Oct-Dec	75%
Jan-Mar	50%
Apr-Jun	25%