Financial and Administrative Policies

5/17/2019

This document is intended to assist members of the Whiting School of Engineering (WSE) to understand current policies as they pertain to faculty member’s responsibilities, departmental responsibilities and center and institute responsibilities. Please note that the following WSE financial and administrative policies do not supersede JHU policies, which can be found on the JHU website www.policies.jhu.edu.

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1 **TENURED and TENURE-TRACK FACULTY MEMBERS**

1.1 **Academic Council Faculty Responsibilities**

The Homewood Academic Council Procedures Manual on “Faculty Responsibilities” for the Homewood Schools, which can be found at [http://academiccouncil.jhu.edu/](http://academiccouncil.jhu.edu/), amplifies the Tenure Regulations of the Homewood Schools (The Krieger School of Arts & Sciences and the Whiting School of Engineering) which state that:

> “Each faculty member of the Homewood Schools, regardless of rank, usually devotes half-time to research and half-time to the formal instruction and guidance of the undergraduate, graduate and postdoctoral students and fellows in their scholarly endeavors.”

The “Faculty Responsibilities” document recognizes that the “division of effort between teaching and research is intended to represent an average commitment, to be balanced over an individual faculty member’s career.” The document concludes that “In sum, every faculty member is to contribute in substantial ways both to the research programs of the Homewood Schools and to graduate and undergraduate education.”

The policies outlined in this section apply to tenured and tenure-track faculty members in the Whiting School of Engineering.

1.2 **Junior (Untenured) Faculty Members**

According to the Academic Council’s “Faculty Responsibilities” document; “Junior faculty have a special need to establish their research agendas, and department chairs should be prepared to allow them to spend more than half time doing so for a year or two.”

The Whiting School recognizes the particular importance of the need for untenured faculty members to develop their research programs and, accordingly, typically reduces their teaching expectation for the first two years. With the approval of the faculty member’s Chair, incoming untenured faculty members teach two courses in their first year and one in their second year. This applies to faculty hired as either an Assistant Professor or as an untenured Associate Professor.

Untenured faculty members in years three and beyond are expected to typically teach three full courses over their first two years, one graduate and one undergraduate, and to perform modest WSE and University service.

1.3 **Tenured Faculty Members on “Standard” Salary Support**

The policies outlined in this section apply to tenured and tenure-track faculty members in the Whiting School of Engineering on 9-month, academic-year appointments. These faculty members are paid 75% of their Full Time Equivalent (FTE) appointed salaries by the Dean from WSE General Funds.
1.3.1 Research

The Academic Council’s Procedures Manual “Faculty Responsibilities” document makes three statements regarding expectations related to research;

1. “In sum, every faculty member is to contribute in substantial ways both to the research programs of the Homewood Schools and to graduate and undergraduate education.”
2. “At some stages of their careers, faculty may find it necessary to devote full time to research; the current practice of permitting this practice where grant funds are available to cover salary should be continued.”
3. “If at times some faculty become less active in research, they should be encouraged to compensate by taking on additional teaching and advising responsibilities.”

While the WSE interprets these Homewood Academic Council statements both broadly and specifically, the WSE expects all faculty members to make a substantial contribution. Specifically, the WSE expects the following;

1. Every faculty member is expected to contribute in substantial ways to both the University’s research programs and to the graduate and undergraduate educational programs in the WSE.
2. Faculty members may, with the permission of their Head/Chair, engage in full time research when their external funds are sufficient to cover 90% FTE (as set out in Table 1).
3. Faculty members who become less active in research are required to take on additional teaching and administrative roles as set out in Table 1.
4. WSE Chairs and Heads are charged with determining teaching commitments so that each faculty member makes a substantial contribution and that the full range of teaching responsibilities for their department is covered.

1.3.1.1 Highly Research Active Faculty Members

The WSE considers those tenured faculty members who are advising and supporting on external funds, on average, five (5) doctoral students to be highly research active. Naturally, highly research active faculty members should continue to publish in a robust manner with multiple peer reviewed articles appearing each year. Highly research active faculty members are expected to teach two (2) courses per year, advise undergraduates and to do modest WSE and University service.

The determination regarding which faculty members fall into the “highly research active” group will be decided annually in the spring by the Dean and the Vice Dean for Faculty based upon the recommendation of the Department Chair, the Annual Review submitted by the faculty member and on the financial reporting supplied by the WSE Business Office. Individual faculty members may supply any additional relevant data to their Chair.

1.3.1.2 Research Active Faculty Members

The WSE considers those faculty members who are advising doctoral students and publishing consistently to be research active. Research active faculty members are expected to teach the
standard three (3) courses per year and do reasonable (as determined by their Chair) WSE and University service.

1.3.1.3 Less Research Active Faculty Members

The WSE considers those faculty members who are not advising doctoral students and/or publishing only intermittently (this is field dependent) to be less research active. Less research active faculty members are expected to “contribute in substantial ways” to the WSE by additional teaching beyond the standard three (3) courses per year and to do additional WSE and University service as determined by their Chair in consultation with the Vice Dean for Faculty.

1.3.2 Teaching

WSE faculty who contribute in substantial ways both to research and teaching generally are expected to teach three courses per year. However, as explained above, teaching expectations change with research activity.

As stated in the Academic Council’s “Faculty Responsibilities” document, “teaching responsibilities include much more than lecturing. They include advising undergraduates and graduate students, formal and informal mentoring, the guidance of Teaching Assistants (TA’s) in matters of pedagogy, and the supervision of TAs with responsibility for grading. The fair evaluation of papers and other assignments, and the timely return of papers and dissertation drafts with appropriate comments are especially important. Faculty participation in doctoral oral examinations inside or outside one’s own department is similarly essential to the university’s functioning. Finally, all faculty should maintain regular office hours or provide some comparable method of assuring easy student access to them.”

The maintenance of regular office hours implies that during both the Fall and Spring semesters faculty should be available weekly to consult individually with students. While it is recognized that faculty must travel, all faculty members must secure the permission of their Chair/Director/Head and the Dean to be away from the School for either the Fall or the Spring semester unless on approved leave (sabbatical, Leave of Absence, etc.). Department Chairs/Director/Heads must inform the Dean if a faculty member is not going to teach at least one full course in either the Fall or Spring semester.

1.3.2.1 Chair/Director/Head’s Responsibilities Regarding Teaching

According to the Academic Council’s “Faculty Responsibilities” document, “Department chairs must be able to take full advantage of differing faculty talents. They should be given considerable flexibility in determining formal teaching assignments, as long as the faculty of each department collectively cover the full range of teaching responsibilities of that department.”

Consistent with the Academic Council’s “Faculty Responsibilities” statement above, the WSE expects Department Chair/Director/Heads to determine teaching assignments for all tenured and tenure-track faculty members and also for all teaching faculty members. While it is common practice for Chair/Director/Heads to consult with their faculty on teaching assignments, Chair/Director/Heads are responsible for assigning teaching responsibilities to their faculty members. Chair/Director/Heads are held responsible for the full range (both graduate and undergraduate) of teaching responsibilities and are empowered to use “considerable flexibility in determining formal teaching assignments.”
Chair/Director/Heads are expected to ensure that their departments have the office hours that each faculty member intends to keep during each semester recorded and available to undergraduate and graduate students.

While this document will refer to teaching obligations in terms of “courses,” the WSE understands that “teaching” is, increasingly, broader than just typical classroom instruction of a single semester course with an enrollment of about 30 students. The WSE encourages Department Chair/Director/Heads to consider the educational impact of each faculty member’s instructional activity. Each department will typically offer a range of pedagogical experiences which will which include small and large regular classes, design projects and other innovative modes of instruction and learning. Department Chair/Director/Heads will need to “take full advantage of differing faculty talents” and exercise “flexibility in determining formal teaching assignments” such that each faculty member in their department contributes appropriately.

1.3.2.2 Buy-Out of Teaching

Those WSE faculty members wishing to devote themselves to more than half of the academic year to research, may, with the permission of their Department Chair/Director/Head, use externally secured research funding to buy-out of their teaching commitment at 12.5% FTE per course (10% plus 2.5% for service associated with the course), plus fringe benefits. This will enable the School and the Department adequately to fund replacement instructors. (Internal funds such as discretionary funds and internal grants may not be used to buy out of teaching.)

A faculty member wishing to buy out of teaching should request a teaching buy-out from the Department Chair/Director/Head. If the Department Chair/Director/Head approves of the buy-out, she/he will inform the Vice Dean for Faculty, by email, with a very brief explanation of the reasons for the approval and an assessment of the teaching load of other faculty members in the Department for that academic year. Decisions regarding teaching buyout will be considered in the context of the obligations of the individual Department to its teaching mission. The request may be denied by the Chair/Director/Head if the Department cannot meet its course obligations or if the faculty member is insufficiently contributing “in substantial ways both to the research programs of the Homewood Schools and to graduate and undergraduate education.”

Only in exceptional circumstances will faculty not on sabbatical or on approved leave have no teaching commitment as a result of their service and research expectations. Such cases require the approval of both the Chair/Director/Head and the Vice Dean for Faculty.

1.4 Tenured and Tenure-Track Faculty Members on “Research Intensive” Salary Support

Consistent with section 1.3.1, the Whiting School will either appoint faculty members or allow faculty members, with the consent of their Department Chair/Director/Head, to opt for a salary arrangement which is consistent with “research intensive” activity. Faculty members with research intensive appointments receive 50% FTE from the Dean and are expected to secure the remaining 50% FTE from external grants and/or contracts and/or discretionary funds.

The research intensive model is the norm for faculty members in Biomedical Engineering. Research intensive faculty members are expected to advise a strong cohort of doctoral students and postdocs and to publish consistently. Research intensive faculty members are expected to teach one (1) full course per year and do modest (as determined by their Chair/Director/Head)
1.4.1 Teaching Expectations for “Research Intensive” Faculty Members

As detailed in section 1.3.2 and, as stated in the Academic Council’s “Faculty Responsibilities” document, “teaching responsibilities include much more than lecturing.” Research intensive faculty members are also expected to advise both undergraduate and graduate students, engage in formal and informal mentoring, to guide and supervise their Teaching Assistants and to maintain regular office hours for their courses, or they may develop new courses and new pedagogical modalities, and generally contribute to the educational enterprise of the school.

Only in exceptional circumstances will faculty not on sabbatical or on approved leave have no teaching commitment as a result of their service and research expectations. Such cases require the approval of both the Chair/Director/Head and the Vice Dean for Faculty.

1.4.2 Compensation Levels

Faculty members meeting research intensive obligations (50% FTE charged to external funds) are compensated at a different, usually higher, level from those on standard salary support (75% FTE from Dean’s Funds). In both cases, market forces, discipline specific equity, seniority, scholarly impact, impact on the WSE, contributions to the WSE, equity within the WSE and other scholarly and service parameters are used to set the level of compensation.

1.5 Tenured and Tenure-Track Faculty Members on Full-Time Research

The Homewood Academic Council’s “Faculty responsibilities” document recognizes that “At some stages of their careers, faculty may find it necessary to devote full time to research; the current practice of permitting this practice where grant funds are available to cover salary should be continued.”

Faculty members with sufficient external grant funding may elect to devote full-time to research as long as their teaching commitments are bought out (see section 1.3.2.2). WSE faculty members may charge a maximum of 90% FTE to external grants and contracts. Faculty members charging more than 85% FTE to external grants and contracts cannot teach formal courses and should have light (in terms of time commitment) service obligations to the School and University. In general, while this should be negotiated with the Department Chair/Director/Head and Vice Dean for Faculty, the WSE will continue to provide 37.5% FTE in salary support. (Maximum banking in this case is therefore 27.5% FTE.)

1.6 Departmental and University Service

According to the Academic Council’s “Faculty Responsibilities” document; “The tenure regulations make no explicit mention of the need for faculty to perform departmental and university tasks by serving on committees. Because these services are clearly essential to running the Homewood Schools, Deans and Department Chair/Director/Heads should take care to distribute such duties broadly, and to reward faculty who undertake them. In some cases, it may be advisable to reduce the teaching responsibilities of faculty who take on unusually heavy committee loads.”
The Whiting School interprets the “distribute such duties broadly” statement as a distribution over the entire faculty at any given time and as a distribution over time for a specific faculty member. Thus, while important service such as serving on the Homewood Academic Council is recognized as time consuming, the WSE assumes that all senior faculty members will, some time in their career, serve in that or a similarly time-consuming capacity.

In the WSE, service may include translational activities which are in the direct best interests of the School as approved by the Dean. While these activities would not typically include the commercialization of an individual faculty member’s research, translational activities such as the improvement of STEM curricula in a K-12 institution may qualify.

1.6.1 Department Chairs/Directors/Heads

1.6.1.1 Department Chairs

The Whiting School recognizes the particular administrative burden on Department Chairs and reduces their teaching expectation by one course per year. Department Chairs also receive an additional 8.3% FTE for their services.

1.6.1.2 Department Heads of WSE-only Departments

Those faculty members recruited to serve as a Department Head of a WSE-only department will negotiate the terms of their service with the Dean. The responsibilities and authority attributed to Department Chairs by the Homewood Academic Council is vested in WSE Department Heads. Department Heads typically receive an administrative salary component, in addition to their salary as a faculty member, while they serve in this administrative capacity.

1.6.1.3 Chairs and Directors of Departments Spanning Another JHU School

The Chair of Environmental Health and Engineering will negotiate the terms of her/his service with the Dean of the Bloomberg School of Public Health (BSPH) and the Dean of the Whiting School of Engineering. The Director of Biomedical Engineering will negotiate the terms of her/his service with the Dean of the School of Medicine (SoM) and the Dean of the Whiting School of Engineering. The responsibilities and authority attributed to Department Chairs by the Homewood Academic Council is vested in both the Chair of Environmental Health and Engineering and the Director of Biomedical Engineering. Department Chairs and Directors of departments which span the WSE and another JHU school have full authority in the WSE even if they do not hold tenure in the Homewood Schools.

1.6.1.4 Center/Institute Directors

Faculty members who take on exceptional leadership roles in the development of externally funded centers and institutes may discuss with their Chair/Director/Head the possibility of a reduction in teaching commitment during the one- or two-year start-up phase of securing the sustainability of the center or institute. With the written support of the Chair/Director/Head, the faculty member may then negotiate with the Dean for a reduction in teaching commitment which must be included in the budget for the Center or Institute. In no case will any reduction in teaching expectation be permanent.
1.7 Financial Arrangements

1.7.1 Tenured Faculty Members on “Standard” Salary Support

This section interprets the statements made in sections 1.1 and 1.2. Faculty members are expected to be research active, to teach and to perform University and departmental service. Faculty members on the standard salary model who are research active receive half of their 9-month support (37.5% FTE) for research and the other half for teaching and service.

Junior faculty members will need to spend more time than experienced faculty members on the preparation of new classes and on the development of their abilities as instructors. Junior faculty members are provided with the time to develop both the research programs and their talents as teachers, advisors and mentors.

Senior faculty members will be (as required by promotion to tenure by the Homewood Academic Council) leaders in their field and are expected to publish regularly, demonstrate impact, in a manner consistent with leadership in their discipline. In most engineering disciplines, this is usually no less frequent than annually. Senior faculty members who are publishing regularly, mentoring doctoral candidates and disseminating their work periodically are considered “research active.”

Senior faculty members who, by their ability to secure the resources to support a robust research group, the talent to publish at a rate which clearly demonstrates leadership and to have a high impact in their field are considered “highly research active.” Typically, a robust research group would include five or more doctoral candidates supported by the faculty member. Faculty members may be considered to be “highly research active” on the recommendation of the Chair/Director/Head to the Vice Dean for Faculty who will present the case to the Dean and to both the Vice Deans for Education and Associate Dean for Research. Final approval rests with the Dean.

Senior faculty members who are, as described by the Homewood Academic Council as “less active in research” will typically not be publishing, mentoring doctoral candidates, demonstrating impact, and/or disseminating their work in a manner consistent with leadership in their discipline. The WSE considers such faculty members to be “less research active.” Faculty members may be considered to be “less research active” on the basis of discussions between the Chair/Director/Head and the Vice Dean for Faculty who will present the case to the Dean and to both the Vice Deans for Education and Associate Dean for Research. A final decision rests with the Dean.

Senior faculty members who publish infrequently, are not mentoring doctoral candidates or are ineffective in their mentoring of doctoral candidates, not having significant impact in their field, and/or are only intermittently disseminating there are considered “research inactive.” Faculty members may be considered to be “research inactive” on the basis of discussions between the Chair/Director/Head and the Vice Dean for Faculty who will present the case to the Dean and to both the Vice Deans for Education and Associate Dean for Research. A final decision rests with the Dean.

The WSE provides salary support for service knowing full well that service obligations wax and wane over time and that all senior faculty members should take on service obligations such as membership on the Homewood Academic Council and similarly time-consuming roles so that the service commitments critical to the running of the WSE and University are distributed over
all of the faculty and over time for each individual faculty member. Service as a Department Chair/Director/Head is recognized as a commitment which is so demanding as to require additional time on the part of the Chair/Director/Head.

The table below sets out the percentage effort supported by the WSE for research, teaching and service. Teaching is broadly defined as per the Homewood Academic Council “Faculty Responsibilities” document. The “Courses” column refers to the minimum number of courses expected. Chair/Director/Heads may, at times, be required to expect faculty members to teach more than the minimum number of courses, or equivalent educational contributions, to meet Homewood Academic Council requirements that “the faculty of each department collectively cover the full range of teaching responsibilities of that department.”

1.7.2 Tenured Faculty Members on “Research Intensive” Salary Support and WSE-BME Faculty

As stated in section 1.4 above, faculty members on the research-intensive salary model receive 50% FTE from the Dean, with 37.5% FTE salary devoted to research.

1.7.3 Salary and Effort

Any faculty member charging their time to external grants or contracts must complete the university-required effort reporting. Table 1 details the fraction of salary provided to WSE faculty members. Faculty members may charge all of their time related to research to externally funded grants and contracts. Thus “Highly Research Active” faculty members may charge 75% FTE to external grants and contracts, while “Research Intensive” faculty members may charge 90% FTE to external grants and contracts.
Faculty members whose external sponsored salary support from grants and/or contracts allows them to charge a higher percentage of their FTE salary than is set out in the “External” column in Table 1, may direct this portion of these funds to their faculty discretionary account if the following conditions are met:

a. The faculty member is a full-time member of the tenured or tenure-track faculty in the WSE.

Table 1. Note that “Courses” refers to the typical teaching expectation, but that Chair/Director/Heads may require a faculty member to teach more according to the needs of the Department. The percentage of effort on service is to be averaged over time. Please see section 1.3.2.2 for buy-out of teaching.

<table>
<thead>
<tr>
<th>Faculty members on standard salary support</th>
<th>Research</th>
<th>Teaching</th>
<th>Courses</th>
<th>Service</th>
<th>External</th>
<th>Max Banking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Active</td>
<td>37.5% FTE</td>
<td>30% FTE</td>
<td>3</td>
<td>7.5% FTE</td>
<td>25% FTE</td>
<td>37.5%</td>
</tr>
<tr>
<td>Highly Research Active</td>
<td>50% FTE</td>
<td>20% FTE</td>
<td>2</td>
<td>5% FTE</td>
<td>25% FTE</td>
<td>37.5%</td>
</tr>
<tr>
<td>Less Research Active</td>
<td>25% FTE</td>
<td>40% FTE</td>
<td>4</td>
<td>10% FTE</td>
<td>25% FTE</td>
<td>37.5%</td>
</tr>
<tr>
<td>Research Inactive</td>
<td>12.5% FTE</td>
<td>50% FTE</td>
<td>5</td>
<td>12.5% FTE</td>
<td>25% FTE</td>
<td>37.5%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Faculty members on research intensive salary support/WSE-BME faculty</th>
<th>Research</th>
<th>Teaching</th>
<th>Courses</th>
<th>Service</th>
<th>External</th>
<th>Max Banking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Intensive</td>
<td>37.5% FTE</td>
<td>10% FTE</td>
<td>1</td>
<td>2.5% FTE</td>
<td>50% FTE</td>
<td>25%</td>
</tr>
<tr>
<td>Full-time Research</td>
<td>7.5% FTE</td>
<td>0% FTE</td>
<td>0</td>
<td>2.5%</td>
<td>90% FTE</td>
<td>27.5%</td>
</tr>
</tbody>
</table>

| WSE Chair               | Research active Chair | 37.5% | 10% | 1 | 35.8% FTE | 16.7% FTE | 41.65% |

1.7.4 Salary Charged to Externally Sponsored Research

Faculty members whose external sponsored salary support from grants and/or contracts allows them to charge a higher percentage of their FTE salary than is set out in the “External” column in Table 1, may direct this portion of these funds to their faculty discretionary account if the following conditions are met:

a. The faculty member is a full-time member of the tenured or tenure-track faculty in the WSE.
b. Use of the external research funds for the faculty member’s salary reduces the Dean’s funded salary commitment.

c. The faculty member must have met all University and WSE policies and have met all funding agency requirements. (This includes final reports on sponsored projects and effort forms.)

Funds eligible to be placed in a faculty member’s discretionary account includes both the saved salary and, depending on the associated department’s policy, the fringe benefits. Faculty may not charge to external grants or contracts the time they require for teaching (typically 10% FTE per full course) and for University service and administration (see Table 1 for guidelines). Tenured and tenure-track faculty members teaching no more than one course may charge up to 87.5% of their effort to external grants and/or contracts. Faculty members not teaching any courses may, with the permission of both their Chair/Director/Head and the Vice Dean for Faculty, charge up to 90% of their effort to grants and contracts. With written justification, the Vice Dean for Faculty may, at her/his discretion alter these limits.

1.7.4.1 Faculty Members Supported by NIH Funds

Faculty members who are supported by NIH funds and who have FTE salaries which exceed the NIH salary cap may use the “Research” component of their salary in Table 1 above and the time charged to the NIH at their maximum rate to cover their salary. If the combination of Dean’s funds and NIH salary is insufficient, faculty members may use discretionary funds to receive 100% FTE if the conditions in section 1.7.4 are met. The NIH salary cap is revised in January of each year for that calendar year.

1.7.5 Supplemental (“Bonus”) Pay

All tenured and tenure-track faculty members are eligible for a supplemental salary payment to be determined at the discretion of the Dean, if the financial performance of the School permits. The total amount of bonus pay will be determined by the Associate Dean for Finance and Administration toward the end of the School’s fiscal year. While each faculty member’s own discretionary account must typically be used for any supplemental pay, the Dean may, at her/his own discretion and after consultation with the Associate Dean for Finance and Administration provide additional funds for bonus pay. Departmental and/or center operating funds cannot be used for supplemental pay. Bonus pay is based primarily on financial metrics. Research, teaching, translation and service contributions to the WSE may be considered for the additional bonus funds provided by the Dean.

At the discretion of the Dean, the supplemental salary payment will be processed by the end of each FY.

1.7.5.1 Faculty members on standard salary support

For faculty members on standard salary support, the bonus typically ranges from a minimum of $100 up to an equivalent of one month of their Full Time Equivalent salary (8.3% FTE). To be eligible for consideration for supplement pay, faculty members must have accrued discretionary funds greater than $1,000 in a given fiscal year, must support a robust cohort of doctoral students on external grants and/or contracts and must meet all Homewood Academic Council “Faculty Responsibilities.”
1.7.5.2  Faculty members on Research Intensive salary support

For faculty members on Research Intensive salary support, the bonus is not capped and is set annually by the Dean. To be eligible for supplement pay, faculty members must have accrued discretionary funds greater than $1,000 in a given fiscal year, must support a robust cohort of doctoral students on external grants and/or contracts and must meet all Homewood Academic Council “Faculty Responsibilities.” To be eligible for this supplement pay greater than 8.3% FTE, faculty members must typically have charged more than 65% effort to external grants and contracts and be supporting more than 5 doctoral students.

1.8  Discretionary Accounts in Support of Research and Scholarship

The WSE recognizes the importance to faculty members of funds which can be used flexibly in support of their research and scholarship. There are two types of such funds; (1) faculty startup funds and (2) discretionary funding provided by the Dean from Research Reinvestment funds, PhD tuition return, faculty scholarship funds (regular salary for research that is charged to sponsored projects), named professorships or fellowships, service as a Department Chair, Department Head or Department Director, and National Academy of Science, Engineering, and/or Medicine members.

1.8.1  Faculty Startup Accounts

Tenured and tenure-track faculty members hired into the Whiting School of Engineering will each have an offer letter which details any startup funds to be provided to support the building and establishment of the faculty member’s research program in the WSE. This letter will detail the sources of funds (Whiting School Dean’s Office, Department, or other) and the fiscal years in which the funds should be expended. Startup funds are designed to help faculty members initiate their research programs. Since startup funds are provided to get a new faculty member’s research program started, these finds are not intended to sustain research programs and will return to the Dean if not used as stated below. This faculty start-up account is usually housed in the faculty member’s primary academic department with access to be made available to the appropriate center/institute if necessary.

Any upgrades to physical plant not explicitly identified in the offer letter will only be made at the request of the Chair/Director/Head and with the approval of the Associate Dean for Research and the Associate Dean for Finance and Administration.

Typically, startup accounts will not last longer than three years from the date of appointment. They are to be used to establish the faculty member’s research here in the WSE and permission to use these funds prior to arrival to accelerate startup of research may be secured from the Vice Dean for Faculty. An extension of the use of these funds for one year may be obtained by a written request with justification to the Vice Dean for Faculty. Four years after the appointment of the faculty member, any unexpended startup funds will be split, with 50% reverting to the Dean and 50% to the faculty’s discretionary account.

1.8.2  Faculty Discretionary Accounts

In recognition of the need for flexible funding to support a dynamic and active research program, the Dean provides a number of mechanisms by which WSE faculty members can earn discretionary funds for the support of their research programs within the Whiting School.
Discretionary accounts allow faculty members to smooth out fluctuations in external funding, to initiate new avenues of research, to assist in funding cost sharing required by grants and contracts, and to engage in scholarly activities (such as attending international conferences) that cannot be charged directly to some external grants or contracts. Discretionary funding is generated as follows:

1. Research Reinvestment funds can be provided (see section 7.3 for details) when faculty members secure external grants and contracts that carry full overhead (F&A). Full overhead means at least the minimum federally-negotiated rate for the type of sponsored activity that is being performed, or 68% on TDC for non-federal activity.

2. Faculty members who hold named professorships, endowed professorships, and named fellowships may be provided with discretionary funds for the support of their academic activities.

3. Faculty members who serve as Department Chair/Director/Heads have a significant additional burden and the Dean may mitigate the pressures on their active research programs by providing discretionary funding.

4. Faculty members who do not use the full allowed Deans Fellowship funding for doctoral student tuition may receive a share of that fellowship amount.

5. Faculty members elected to the National Academy of Science, Engineering, and/or Medicine may be provided with discretionary funds.

6. Finally, when faculty members charge General Funds salary in support of their research activities to sponsored projects, the Dean may provide discretionary funding proportional to the budget relief provided by the external funding (see section 1.7.4).

All of these various sources are placed into one discretionary account for the use of the faculty member in support of their research and scholarly activities in the WSE. This faculty discretionary account is usually housed in the faculty member’s primary academic department with access to be made available to the appropriate center/institute if necessary. Note that the IRS and the University restrict the uses of these funds.

For federal income tax purposes, control of these funds must rest with the Dean’s Office. While these discretionary funds may be used appropriately by individual faculty members, these funds are WSE resources and the Dean is ultimately responsible for them. Should the Dean need to use these funds for any reason, she/he has the authority to do so.

1.8.3 Distribution and Accrual of Discretionary Funds

Distribution of discretionary funds to each faculty’s discretionary account is done by the Office of the Associate Dean for Finance and Administration. Funds from named professorships, named fellowships and service as a Departmental Chair/Director/Head are made available during the first quarter of each fiscal year.

Research Reinvestment funds are computed once the prior fiscal year budget has been closed. RR is added to each faculty member’s discretionary account during the current fiscal year based on a calculation of the F&A earned on sponsored research in the prior fiscal year. This is typically done in the late fall.
Faculty scholarship funds are deposited in late winter/early spring. To limit financial exposure to the School, the rate at which salary charged to external sources is added to a faculty member’s discretionary account is halved once a faculty member’s discretionary account has accrued to three years of that faculty member’s FTE, (300% FTE).

Prior to the 300% FTE level, as stated above, salary that is both charged to external sponsored sources and that allows WSE general funds to be saved is added to a faculty member’s discretionary account. If, at the end of the prior fiscal year, the faculty member’s discretionary account is greater than 300% FTE for the current fiscal year, then one half of all salary that is both charged to external sources and saves the WSE general funds is added to a faculty member’s discretionary account. (The other half goes into WSE General Funds for the use of the Dean).

Faculty members holding discretionary account funds equal to or greater than three times current FTE are required to disclose annually how they propose to use their funds with the Vice Dean for Faculty, and all Dean’s contributions may be capped.

If a faculty member leaves the WSE all unspent discretionary funds will revert to the Dean. The departing faculty member may negotiate, with the approval of their Chair/Director/Head, with the Vice Dean of Faculty and the Associate Dean for Finance and Administration, to use any remaining discretionary funds for obligations to support graduate students remaining in the WSE or to wind down their research in the WSE. These funds cannot be used for activities outside of the Whiting School and may not be transferred to a department/center/institute or another faculty member.

1.9 Financial Responsibilities

Faculty are expected to meet with their departmental financial contacts no less than quarterly to go over the reconciliation of their sponsored and non-sponsored accounts, consistent with JHU requirements. Faculty are expected to keep their sponsored and non-sponsored accounts in good standing at all times (see section 5.2.1) Faculty members are expected to use the discretionary funding that they have accumulated to make up for periods in which external funding is insufficient for their standard research expenditures. Faculty members are also expected to use the discretionary funding that they have accumulated to contribute substantially to the purchase of major new equipment and renovations required to accommodate their research programs as well as to help fund any approved, required cost sharing or cost overruns on grants or contracts.

1.10 Leaves of Absence

Leaves of Absence (LOA) in the Whiting School of Engineering (WSE) usually fall under five main categories: sabbatical, professional, FMLA (those that qualify under the Family and Medical Leave Act of 1993), parental leave and Intergovernmental Personnel Assignment (IPA).

1.10.1 Sabbaticals

Sabbatical leave is a privilege which may be granted by the Dean to faculty members. The primary purpose of a sabbatical leave is to free tenured and tenure-track faculty members from their standard University duties providing an uninterrupted opportunity to advance scholarship, for intellectual refreshment and to open new avenues for research and teaching. A sabbatical is intended to be of benefit to the faculty member and to the University.
Requests for sabbatical leave for faculty are to be made by the departmental Chair/Director/Head in writing to the Dean and are governed by the following policy:

The sabbatical policy of the WSE provides for paid and partially paid leaves, every seventh year after twelve academic year semesters of continuous full service, for tenured and tenure-track members of the faculty. Applications for sabbatical leave must be supported by the Chair/Director/Head of the faculty member’s department and it is expected that such leave will not impede the ability of the department to fulfill its teaching obligations. Faculty members on both the standard and Research-Intensive salary support are provided with 37.5% FTE for the period of their sabbatical. This may be distributed over the period of sabbatical leave to suit the needs of the faculty member on sabbatical. By accepting a sabbatical leave, the faculty member incurs an obligation to return to the University for at least one full year after the sabbatical.

Faculty members on sabbatical are usually expected to continue their ongoing research programs. During their sabbatical, faculty members may charge their time to external grants or contracts based on the amount of research activity they spend on the grant or contract.

When applying for a sabbatical, faculty members should write a memorandum to their Chair/Director/Head detailing what they expect to accomplish during the sabbatical as well as the sabbatical’s future value to the School and the University. The memo should also state the preference for a one semester or a full year sabbatical and note whether or not they will remain in the Baltimore region or go elsewhere. The memorandum from the Chair/Director/Head to the Dean should address what arrangements the faculty member and department have made to cover teaching commitments, supervision of advisees and administrative duties for which the faculty member is responsible. The Dean’s decision of when or whether to approve the sabbatical request will take into account the faculty member’s plans, how and whether these plans advance the faculty member’s abilities in teaching and research, and the ability of the School and Department to function without the faculty member’s contribution to teaching and other activities. Sabbatical leave does not accumulate.

1.10.2 Other leave

For all other types of leave, faculty should refer to the document entitled, The Johns Hopkins University Zanvyl Krieger School of Arts and Sciences/ Whiting School of Engineering Tenure Regulations, to determine their eligibility for leave and the effect of leave on the tenure clock.

1.11 Consulting by Faculty Members

The WSE’s Policy on Conflict of Commitment and Conflict of Interest details the limits and reporting requirements for faculty engaged in outside consulting activities, see https://engineering.jhu.edu/wse-research/conflict-of-interest/.

Special areas of consideration when providing outside services:

- The primary duty of full-time faculty members is to the University; therefore, providing outside services, such as consulting, is a privilege for faculty.

- A department chair or division director has the authority to limit a faculty member’s outside activity from the standpoint of professional commitment.
• The JHU and divisional disclosure and professional commitment policies require that disclosure to the institution those financial interests and outside services that reasonably appear to be related to a faculty member’s institutional responsibilities. Disclosure is made through eDisclose: http://edisclose.jhu.edu

2 FULL-TIME RESEARCH FACULTY MEMBERS

2.1 Academic Council Policy Implications

This document supplements the Homewood Academic Council’s “Titles Document” which defines the roles and responsibilities of research and of teaching faculty members. See http://sites.jhu.edu/council/AcademicTitles. Academic Council requirements supersede policies set forth in this document.

This section applies to full-time faculty members who hold titles described in the “Titles Document” in section 2.11 on “Research Staff I” (namely the ranks of Research Scholar, Research Scientist and Research Engineer) and in section 2.9 on “Research Faculty I” (namely the ranks of Assistant Research Professor, Associate Research Professor and Research Professor) who are full time in the WSE.

2.2 Research Scholars, Research Scientists and Research Engineers

Faculty members in the Research Staff I ranks have the titles Principal Research Scholar (or Scientist or Engineer), Research Scholar (or Scientist or Engineer), Associate Research Scholar (or Scientist or Engineer), and Assistant Research Scholar (or Scientist or Engineer). Those in the Research Staff I ranks are “members of the research staff of the two Homewood divisions who are employed full time and whose salary derives largely or exclusively from grants and contracts.” These faculty members are referred to as “staff” but are appointed and covered under Homewood Academic Council policies.

Faculty in the Research Staff I ranks are expected to secure the first 90% of their FTE from external grants and contracts.

Usually, those in the Research Staff I ranks are limited to charging 90% FTE to external grants and contracts. With the approval of the Vice Dean for Faculty, they may request that their first 5% FTE be provided by the Vice Dean for Faculty. Once they have secured 90% FTE from external sources, the Whiting School will provide the final 5% FTE to bring them to 100% FTE.

Faculty members holding a Research Staff I position are exempt employees as defined by the Fair Labor Standards Act (FLSA) and must be compensated above the salary threshold set by the FLSA for exempt employees.

2.3 Research Professors

Faculty in the Research Faculty I ranks have the titles Research Professor, Associate Research Professor, and Assistant Research Professor. According to the Homewood Academic Council’s “Titles Document”, faculty in these positions “are similar to Research Scholar appointments in that the primary emphasis in the activity of these individuals is research supported by grants and contracts. However, these ranks are appropriate for individuals who have demonstrated an interest in, and talent for, working with students and participating in the broad range of University activities.”
The WSE requires that, with two exceptions, all Research Faculty I rank faculty members to be full time and to be supported no more than 50% FTE from sources other than external grants and contracts. The two exceptions are (i) faculty who are either about to join or who have recently left the Whiting School as tenured or tenure-track members of the faculty and (ii) full-time members of non-academic divisions of the University who merit appointment in the Research Professor track. This latter category includes members of the Principal Professional Staff at the Applied Physics Laboratories (APL), researchers at the Space Telescope Science Institute (STScI), and other University affiliated research centers.

Those faculty members in the Research Professor ranks who are in neither of the two special categories above (those joining or leaving the tenure-line faculty and those in non-academic divisions) are limited to charging 90% FTE to external grants and contracts. With the approval of the Vice Dean for Faculty, a person in the Research Professor ranks, not in either of the two special categories above, may request that their first 5% FTE be provided by the Vice Dean for Faculty to allow these research faculty members the necessary flexibility in the discharge of their academic responsibilities to meet the requirement that they have an “interest in, and talent for, working with students and participating in the broad range of University activities.” Once they have secured 90% FTE from external sources, the Whiting School will provide the final 5% FTE to bring them to 100% FTE.

2.3.1 Procedure for Securing WSE Support for Research Faculty Members

Assistant Research Professors, Associate Research Professors, and Research Professors who are NOT

1. employed at APL, STScI or any other research center,
2. entering or leaving JHU as a tenure-line faculty member, and
3. paid for teaching

may apply for the first 5% of their FTE salary to be provided by the WSE.

To qualify for the first 5% FTE, the candidate must

- Apply annually by submitting a letter of request to the Vice Dean of Faculty. The letter should be sent to the Academic Appointments Coordinator.
- Provide justification for the funds. Examples would be collaboration with faculty, publishing and/or proposal writing.
- Submit a current (within past 30 days) CV.

Faculty members holding a Research Faculty I position are exempt employees as defined by the Fair Labor Standards Act (FLSA) and must be compensated above the salary threshold set by the FLSA for exempt employees.

2.4 Consulting by Research Faculty Members

The WSE’s Policy on Conflict of Commitment and Conflict of Interest details the limits and reporting requirements for faculty engaged in outside consulting activities, see https://engineering.jhu.edu/wse-research/conflict-of-interest/.

Although University and WSE policies on consulting also apply to full-time research faculty members (those in the ranks of Research Faculty I and Research Staff I positions), research faculty must comply with other relevant regulations which further restrict their ability to consult.
Special areas of consideration when providing outside services:

- The primary duty of full-time faculty members is to the University; therefore, providing outside services, such as consulting, is a privilege for faculty.
- A department chair or division director has the authority to limit a faculty member’s outside activity from the standpoint of professional commitment.
- The JHU and divisional disclosure and professional commitment policies require that disclosure to the institution those financial interests and outside services that reasonably appear to be related to a faculty member’s institutional responsibilities. Disclosure is made through eDisclose: http://edisclose.jhu.edu

2.4.1 Research Staff I Faculty Members

Faculty members holding Research Staff I ranks must request that their Department Chair/Director/Head secure permission from the Vice Dean for Faculty before they may engage in any consulting. Consulting up to 1 day per week is allowed as long as there is no adverse effect on the faculty’s WSE duties and as long as they are on non-sponsored funds for at least 5%.

All external activities must be reported through eDisclose. Any conflicts must be indicated on each research proposal submitted. It should be noted that a faculty member’s visa status could limit their ability to engage in outside activities.

2.4.2 Full-Time Research Faculty I Faculty Members

Research faculty members in the Research Faculty I track must request that their Department Chair/Director/Head secure permission from the Vice Dean for Faculty before they may engage in any consulting. Consulting up to 1 day per week is allowed as long as there is no adverse effect on the faculty’s WSE duties and as long as they are on non-sponsored funds for at least 5%.

All external activities must be reported through eDisclose. Any conflicts must be indicated on each research proposal submitted. Please note that a faculty member’s visa status could limit their ability to engage in outside activities.

2.5 Salary Stabilization

The Homewood Academic Council “Titles” document provides the basis for the procedures for awarding salary stabilization. This document amplifies and clarifies the “Salary Stabilization” procedures of section 3.6 of the “Titles” document in light of the requirement that, according to section 2.9 of that document, these members of the research staff “are largely funded from outside sources to support their research activities.” The procedures below are based upon the Homewood Academic Council document as of 10/31/17. Any change to that document will supersede the procedures below.

2.5.1 Research Faculty I Faculty Members

The positions of Assistant, Associate and full Research Professor are eligible for salary stabilization. Because of the academic component (teaching, advising, etc.) of these positions, it is recognized that Research Faculty I faculty members may obtain some portions of their salary
as compensation for performance of specific academic services. This compensation will not count toward salary stabilization eligibility nor will it count as salary stabilization.

2.5.2 Research Staff I Faculty Members

The “Titles Document” states that; “On a case-by-case basis an individual holding the position of Principal Research Scholar (or Scientist or Engineer) may also be eligible for salary stabilization.” In the WSE, considerations in the granting of salary stabilization include, but are not limited to, length of service, the nature of prior external support and the likelihood of securing external funding for salary support in the near future.

2.5.3 Procedure for Requesting Salary Stabilization

Salary stabilization is intended to provide salary support for a member of the research faculty (or staff, as applicable) during an interim period when insufficient suitable grant or contract funds are available to support that faculty member’s salary. The amount of salary stabilization available to a member of the research staff depends on two components: (1) length of service in their current position in the WSE, and (2) the external funding which previously had supported that individual faculty member’s salary. Salary stabilization credits are accrued monthly, with each month’s accrual equal to one day times the fraction of full-time equivalent salary supported by external funds.

Requests for salary stabilization are made, in writing (email is sufficient) to the Vice Dean for Faculty and must include the basis on which the salary stabilization funds are computed, the dates of the “interim period” during which external grant funding will be insufficient and clear evidence of the potential for future external funding. In general, the clear evidence of the potential for future external funding will require details of already-submitted grant and/or contract proposals to secure external funding.

According to the “Titles” document “salary stabilization is intended to provide salary support for a member of the research staff during an interim period when insufficient suitable grant or contract funds are available to support that individual’s salary.” To qualify as an “interim period” the research staff member must derive salary support from outside sources at the time of application for salary stabilization and must have submitted or be included on proposals which will provide for salary support from external sources within a year of the application for salary stabilization.

2.5.4 Payment of Salary Stabilization

Qualification as an “interim period” is decided by the Deans’ Office. The computation of the amount of salary stabilization is conducted by the WSE Business Office and is based on the formula stated in the “Titles Document.” In this case “one day” is defined as 1/365 of a year so that one day’s salary is 0.274% FTE.

The maximum rate of salary stabilization pay provided by the WSE is 75% of the research faculty member’s current FTE salary. A research faculty member may only draw on accrued salary stabilization funds at a rate of 75% FTE until salary stabilization available to that individual is exhausted.

According to the “Titles” document “Research staff are not paid for unused accrued salary stabilization upon termination of employment.” Since research staff members eligible for salary
stabilization are required to be “largely funded from outside sources” and have term appointments, “termination of employment” includes the ending of a term appointment without a written request from the research staff member’s Chair/Director/Head for a renewal of their appointment. Accrued amounts of salary stabilization are not transferable to other divisions of the University.

2.6 Discretionary Accounts in Support of Scholarship for Research Faculty

The WSE recognizes the importance to faculty of funds which can be used flexibly in support of their scholarship. If a research faculty member leaves the School, all unspent discretionary funds will revert to the Dean. The departing research faculty member may negotiate, with the approval of their Chair/Director/Head, with the Vice Dean of Faculty to use any remaining discretionary funds for obligations to support graduate students remaining in the WSE or to wind down their research in the WSE. These funds cannot be used for activities outside of the Whiting School and may not be transferred to a department or another faculty member.

3 FULL-TIME TEACHING FACULTY MEMBERS

This section pertains to full-time teaching faculty members, including those holding the ranks of Teaching Professor, Associate Teaching Professor, Senior Lecturer and Lecturer.

3.1 Teaching Faculty Salary Support

In general, full-time teaching faculty members will be provided with an academic year of salary (75% FTE) for full responsibility for the teaching of six full courses, commensurate advising and mentoring of their students and full participation in the pedagogic responsibilities of their Department or Center. Teaching faculty members may teach over the summer, with the usual compensation being 12.5% FTE for the first two full courses taught. Teaching faculty are not able to earn faculty scholarship funds by “banking” their salary as they are paid specifically by the WSE to teach.

3.2 Consulting by Teaching Faculty

The WSE’s Policy on Conflict of Commitment and Conflict of Interest details the limits (52 days per year, for a faculty member who is receiving their full FTE salary from WSE funds) and reporting requirements for faculty engaged in outside consulting activities. For full details see the WSE’s conflict of interest policy at http://www.wse.jhu.edu/include/content/pdf/adr/WSE_coc_coi_last.pdf. University and WSE policies on consulting apply to full-time teaching faculty members.

Full-time teaching faculty members who do not teach in the summer months may spend all of this time engaged in external activities.

All external activities must be reported through eDisclose.

4 HIRING OF NEW FACULTY MEMBERS

Departments and Centers/Institutes are responsible for appropriate search procedures that will secure both a diverse and deep applicant pool. All of the costs of hiring new faculty members (tenure-line, research and teaching) are to be paid for by the hiring Department, Center or Institute.
4.1 Tenured and Tenure-track Faculty Positions

Departments are responsible for search procedures that will secure a diverse applicant pool, that will yield faculty candidates “whose scholarly achievements, teaching ability, and qualities of university citizenship are superb.”

Prior to any search for tenure-line faculty members, the Department Chair/Director/Head must secure permission from the Dean to conduct a search by providing a plan for space and finances available to support the new faculty. All searches are to be broad in terms of sub-discipline, rank and seniority. All searches must follow the current “best practices” which can be obtained from Assistant Dean for Diversity and Inclusion. There should be no more than one search committee per year per department, whatever the number of faculty slots available.

Departments are expected to conduct and pay for the following; (i) appropriate advertisements for discipline specific tenured and tenure-track faculty searches, (ii) other outreach activities to secure applicants from underrepresented groups, (iii) preliminary electronic interviews with candidates, and (iv) on-campus visits made by the finalists. In addition, departments are expected to contribute financially to the start-up for the new faculty. Finalists should meet with either the Dean or the Vice Dean for Faculty.

There are a number of steps requiring approval that must be followed for the Dean’s Office to approve of the hire and for the Homewood Academic Council to approve of the required Affirmative Action Report.

1. The search committee must be approved by the Vice Dean for Faculty and should comprise a diverse set of individuals. A diversity advocate must be identified and each faculty member on the search committee must be trained in unconscious bias.

2. The draft position announcement and search plan must be submitted to the Vice Dean for Faculty and the Assistant Dean for Diversity and Inclusion for Dean’s Office approval.

3. Once a diverse and deep pool of candidates has been identified, a preliminary diversity action report is required (with demographic comparisons). Approval of that report by the Vice Dean for Faculty is required prior to inviting candidates for on-campus interviews.

4. Submit the final choice to the Dean and Vice Dean for Faculty for the approval of the Dean.

Once an offer has been made and accepted, Departments should work with the Vice Dean for Faculty’s Office to arrange for the reimbursement of moving costs, including a house-hunting trip, up to the maximum stated in the offer letter. It is important for newly hired faculty members to understand IRS regulations governing moving costs, which are fully taxable, and to purchase their own appropriate insurance for their personal belongings. It is the responsibility of the hiring department to communicate this to the newly hired faculty member.

4.2 Teaching Faculty Members

Departments are expected to place and to pay for the appropriate advertisements for approved full-time teaching faculty searches. Departments pay for all outreach activities to secure applicants from underrepresented groups and pay for the mailing costs associated with securing letters of reference for candidates. Departments will pay for the on-campus visits made by the finalists in each full-time teaching faculty search.
Once an offer has been made and accepted, Departments should work with the Vice Dean for Faculty’s Office to arrange for the reimbursement of moving costs, including the house-hunting trip, up to the maximum stated in the offer letter. It is important for newly hired faculty members to understand IRS regulations governing moving costs, which are fully taxable, and to purchase their own appropriate insurance for their personal belongings. It is the responsibility of the hiring department to communicate this to the newly hired faculty member.

4.3 Research Faculty Members

The costs of recruiting and hiring of all research faculty are the responsibility of the Department, Center or Institute into which the faculty member is to be hired.

Once an offer has been made and accepted, Departments shall work with the Vice Dean for Faculty’s Office to arrange for the reimbursement of moving costs, including the house-hunting trip, up to the maximum stated in the offer letter. It is important for newly hired faculty members to understand IRS regulations governing moving costs, which are fully taxable, and to purchase their own appropriate insurance for their personal belongings. It is the responsibility of the hiring department to communicate this to the newly hired faculty member.

4.4 Permanent Residency Sponsorship

JHU uses Fragomen for their immigration outside counsel: https://www.fragomen.com/.

4.4.1 Tenure-line faculty

1. Tenure-line faculty members automatically qualify for indefinite permanent employment and are automatically considered critical to their department.
2. The department will pay for all of the costs (see Fragomen chart, Appendix B) associated with administrative fees, legal fees (Fragomen) and filing fees (DOL or USCIS) for the Permanent Residency sponsorship of the faculty member and his/her dependents.
3. The Dean’s Office will allow the faculty member to begin working with the International Student and Scholar Services Office and our outside counsel (Fragomen) as soon as she/he has signed her/his offer letter certifying that she/he has accepted our offer of a tenure-line faculty position.
4. The route to Permanent Residency will be decided by Fragomen in negotiation with the faculty member but the final decision rests with Fragomen and the JHU International Student and Scholar Services.

4.4.2 Teaching and Research faculty (Research Professor and Teaching Professor track)

Experience indicates that employees who take lower-level research positions may not remain in these positions long after securing Permanent Residency. Thus, WSE requires Departments to do their due diligence to demonstrate that BOTH the employer (the Department) and the employee (the research faculty candidate) are intent on indefinite employment. For tenure-line faculty, the vast majority remain after securing Permanent Residence.

It is possible to hire a research faculty member into an indefinite/permanent position, which is supported by external grants/contracts if the intention is to secure further funding which will support an indefinite/permanent position.
1. WSE Departments may make the case that a Teaching or Research faculty member qualifies for indefinite permanent employment to the Vice Dean for Faculty. (The Department must certify the prospect for permanent employment.)

2. WSE Departments may make the case that a Teaching or Research faculty member qualifies for being considered critical to their department to the Vice Dean for Faculty.

3. Once the Vice Dean for Faculty has approved of both (1) and (2), she or he will determine that there is no inherent conflict of interest and that the prospective employee intends to stay employed in the WSE, she or he will allow the Department to pay for some or all of the costs (see Fragomen chart Appendix B) associated with administrative fees, legal fees (Fragomen) and filing fees (DOL or USCIS) for the Permanent Residency sponsorship of the faculty member and/or his/her dependents.

4. The hiring Department must pay for the highlighted fees in the chart below.

5. The hiring Department may, at their discretion, pay for the other fees in the Fragomen chart. This must be made clear to the prospective teaching or research faculty member during negotiations.

6. Departments are encouraged to allow prospective faculty members to begin working with the Office of International Student and Scholar Services and our outside counsel (Fragomen) as soon as she/he has signed her/his offer letter certifying that she/he has accepted the Department’s offer of a teaching or research faculty position.

7. The route to Permanent Residency will be decided by Fragomen in negotiation with the faculty member but the final decision rests with Fragomen and the JHU International Student and Scholar Services.

5 DEPARTMENTS

The WSE endeavors to allow departments to operate in as autonomous a manner as possible. Naturally, departments are not independent of the School and University in which they operate and academic standards, departmental budgets, faculty commitments and a wide range of procedures that impact students, faculty and staff are set by entities external to WSE departments. Within the autonomy of each, departments have responsibility for the financial, academic, and research operations.

5.1 Academic Departmental Responsibilities

According to the Academic Council’s “Faculty Responsibilities” document, “Deans and Department Chair/Director/Heads should be flexible and imaginative in taking maximum advantage of individual interests and talents to ensure that faculty responsibilities are shared equitably by the members of each department, while providing for the needs of all the constituents of the department and the school.” Also “Department Chair/Director/Heads must be able to take full advantage of differing faculty talents. They should be given considerable flexibility in determining formal teaching assignments, as long as the faculty of each department collectively cover the full range of teaching responsibilities of that department.”

5.1.1 Teaching

To meet the instructional and mentoring demands of the degrees offered by the department and to achieve other academic objectives, Department Chair/Director/Heads are charged with
ensuring that their departments’ faculty members meet their teaching commitments to the WSE. Indeed, they are required to “determine” formal teaching assignments. In this, they may be aided by the Vice Dean for Faculty, and Chair/Director/Heads should work with her/him to ensure that all faculty members “contribute in substantial ways both to the research programs of the Homewood Schools and to graduate and undergraduate education.” See Table 1 in section 1.7.3 for teaching expectations.

It is the responsibility of the Department under the leadership of the Chair/Director/Head to ensure that the courses needed for all academic programs are offered and that the students in that Department and its majors or minors receive appropriate advising and mentorship.

Should a Department Chair/Director/Head not require that each faculty member contributes “in substantial ways,” the department’s core budget may be reduced to reflect the reduced commitment of the faculty members in that department.

5.1.1.1 Biomedical Engineering Department Faculty

The Biomedical Engineering Department (BME) spans both the WSE and the School of Medicine (SoM) with faculty members appointed in either the SoM or the WSE. This Department has expectations of its faculty members in terms of research productivity, external funding, teaching and service, which minimize the difference between the expectations of the faculty appointed in each School.

Since both the SoM and WSE provide both operating and salary budgets for BME, both Schools expect research, teaching, advising, and mentoring commitments by the faculty commensurate with that School’s contributions to BME.

Advising and mentoring of undergraduates, master’s students, and doctoral students is the collective responsibility of the entire BME faculty as determined by the Director of BME. The WSE specifically provides salary to SoM appointed faculty members for their role in the advising of undergraduates and the pedagogic excellence of the BME undergraduate programs.

The WSE also provides salary support for SoM appointed faculty members to teach in the WSE undergraduate and master’s programs. In general, each SoM faculty member is expected to teach one full course on the Homewood Campus. Details of how this commitment is met is the responsibility of the Department Director.

The teaching commitment of BME faculty members who are appointed in the WSE follows the standard WSE model (see sections 1.3 and 1.4).

The BME core budget allocation will be adjusted to reflect any deficit in the expected teaching of WSE students by the BME faculty.

5.1.1.2 Environmental Health and Engineering Department Faculty

The WSE recognizes that the Environmental Health and Engineering Department (EH&E) spans both the WSE and the Bloomberg School of Public Health (BSPH) in a manner which is, currently, very different from that of Biomedical Engineering. The expectations of EH&E faculty members in terms of research productivity, external funding, teaching, and service reflects the difference between the expectations of the faculty members appointed in the WSE and in the BSPH.
The teaching commitment of EH&E faculty members with primary appointments in the WSE is governed by the Homewood Academic Council “Faculty Responsibilities” and by the WSE expectations articulated in this document (see sections 1.3 and 1.4).

In accordance with the Academic Council, it is the responsibility of the EH&E Chair to determine formal teaching assignments for the WSE appointed EH&E faculty members and to secure the faculty members from either the WSE or the BSPH to collectively cover the full range of teaching responsibilities of that department.

The core EH&E budget required to meet salary obligations to BSPH appointed faculty members will be negotiated with the WSE Business Office and will be adjusted to reflect any deficit in the expected teaching of WSE students by BSPH faculty.

5.2 Departmental Administrative Responsibilities

The Dean has given significant autonomy to the Department Chair/Director/Head to allocate resources as they see fit, within the constraints of their budget and WSE and JHU’s policies and procedures.

5.2.1.1 Lecturer and Staff Hiring

Because hiring lecturers and staff incurs long-term financial commitments by the WSE, their business plan should be updated and approval from the Associate Dean for Finance and Administration (for staff) or the Vice Dean for Faculty (for lecturers) sought before posting a position.

5.2.1.2 Over Expenditures by Departments/Centers/Institutes and faculty members

Faculty members, departments, and centers are expected to spend within their budgets and maintain their accounts responsibly. While minor cost overruns are allowed on sponsored accounts to ensure that all funds are expended at the project’s end, these overruns must be financially covered by the faculty member, department, or center.

Departments/Centers/Institutes

Departments.centers.institutes are expected to spend less than their income so that they generate reserves of no less than 4% of their operating budgets each year.

Both surplus and deficit balances on operating budgets automatically carry forward to the next fiscal year. Departments.centers.institutes with deficits in excess of 5% of total (revenue in any fiscal year will have reduced autonomy and must work with the Associate Dean for Finance and Administration on a plan to bring all accounts into positive balance.

Faculty Members

For overruns on faculty accounts, the faculty member is responsible for providing funds to cover the over expenditure.

5.2.1.3 Sponsored Accounts

On sponsored funds, if expenses are not specifically allocable on another award, a cost overrun should be set up on the grant and then funded from the faculty member’s discretionary or gift account(s). In the event that the faculty member does not have any resources that can be used to cover the over expenditure, the responsibility will fall to the department or center in which the
faculty member is appointed. Any sponsored cost overruns that remain on the deficit balance list for more than 90 days will automatically be cleared by the business office, unless a written deficit recovery plan is submitted to and approved by the Associate Dean for Finance and Administration. The business office will move the balance to a cost overrun account then fund the overrun account from a faculty member’s discretionary account.

Deficit recovery plans will be required if a faculty member has more than $10,000 in deficits and is still employed in WSE, or for any faculty member who has left, regardless of the balance. In the event that the faculty member does not have any available funds, the balance(s) will be funded by the Departmental discretionary or Center discretionary or operating funds. Any pre-award accounts that have a balance and have not been awarded after 6 months will automatically be transferred in the manner stated above.

5.2.1.4 Non-Sponsored Accounts

Any non-sponsored accounts that have deficit balances and remain on the deficit balance report for more than 90 days will automatically be transferred to a faculty member’s discretionary account by the Business Office. This will occur only if a written deficit recovery plan has not been submitted to and approved by the Associate Dean for Finance and Administration. If the faculty member does not have any resources, the deficit will be moved to the Department or Center’s discretionary funds.

5.2.1.5 Processing of Checks Received by WSE Offices

University policy with respect to the management of funds received is to exercise stewardship by depositing funds, or causing them to be deposited, at the earliest possible time. Where possible, payors should be encouraged to make payments to the University by Electronic Funds Transfer directly to the University’s bank account. If Electronic Funds Transfers are not feasible, payors should remit directly to the Cash Accounting window. Other than fees for services, payments to other University offices are discouraged. However, in the event a check is received by a WSE Office, it should be delivered (hand carried, not mailed) to either to the WSE Office of Development and Alumni Relations on the fourth floor of Wyman Park Building, or to Cash Accounting window in the basement of Garland Hall, on the same business day that it is received. Checks that are, or possibly could be, charitable donations should be delivered to the Development Office; all other checks should be delivered to the Cash Accounting window. The check should be accompanied by all correspondence, the grant or sponsored program number, if known, and the envelope with postmark. The receiving department should retain a copy of the check, correspondence, and envelope, but it is important to recognize that donor information must be handled with respect and confidentiality to the extent provided by law.

5.2.2 Travel Policies

The leadership of the Whiting School of Engineering expects travel to be conducted at a minimum cost for achieving the success of the mission of the University. Whiting School faculty, staff, and students are expected to follow the JHU policies and procedures related to travel expense reimbursements. The below policies do not supersede the JHU travel guide located at policies.jhu.edu.

The University has a preferred travel program with World Travel Inc (WTI) and has negotiated contracts to provide travel services for JHU employees as well as students and guests of the
University. Travelers are expected to use the Concur online booking tool or the university’s travel partner, WTI, to book travel. Benefits include traveler compliance with all federal and JHU regulations and enhanced traveler safety. It also improves JHU’s ability to negotiate rates with travel providers (as we can substantiate how much the University spends). If lower rates for accommodations are available (e.g., conference room block rate), these may be booked directly with the hotel.

**Business Class Plane Fare**

As per the JHU travel guide, airfare costs in excess of the customary standard commercial airfare (coach) must be justified and document on a case-by-case basis consistent with the underlined exceptions:

“Airfare costs in excess of the lowest available commercial discount airfare, Federal Government contract airfare (where authorized and available), or customary standard (coach or equivalent) airfare, are unallowable except when such accommodations would: require circuitous routing; require travel during unreasonable hours; excessively prolong travel; greatly increase the duration of the flight; result in increased costs that would offset transportation savings; or offer accommodations not reasonably adequate for the medical needs of the traveler.”

The JHU First Class and Business Class Air Travel Justification and Approval form must be filled out and submitted to the Sr. Director of Finance and Operations, or one of the Finance Directors, for approval before making travel reservations.

**Hotel Class and Rooms**

Travelers should stay in standard single occupancy or equivalent room. Any room upgrades using rewards/miles/credits would be considered a personal expense and not reimbursable on University funds.

The class of hotel should be reasonable and appropriate for the business purpose and location.

Reasonableness of lodging costs will be determined by using the average standard daily hotel rate available through WTI for the travel destination. Lodging charged to sponsored grants will be capped at that average daily rate. A copy of the hotel rates from WTI (or its online tool Concur) must be attached to the expense report when using this method to determine reasonableness. Travel charged to a sponsored project should follow the guidelines set forth by this policy unless the funding agency imposes greater restrictions, in which case, award terms and conditions take precedence.

If the travel is for a conference, the conference rate may be used and if the traveler decides to stay at a different accommodation (e.g. Air BnB), either the lowest conference room rate, or the average daily rate available through WTI, (whichever is lower), can be used as an equivalent.

Travel costs that exceed the cost of substantially similar travel available through its preferred travel program or negotiated contracts will not be reimbursed.

**Expense reimbursements and use of per diem rates**

For domestic travel, actual expenditures should be reimbursed for travel expenses. Both the itemized receipt and a receipt or credit card statement showing payment are also required for all
travel expenses and for non-travel meals. See the JHU travel guide for further details and instructions: [http://ssc.jhmi.edu/travel/policy.html](http://ssc.jhmi.edu/travel/policy.html).

For international travel, actual expenditures with itemized receipts should be reimbursed for travel expenses such as air or rail expenses and hotel stays, and the WSE will reimburse the per diem rate for meals and incidentals (M&I). See the JHU travel guide for further details and instructions for travel day and supplied-meal prorations: [http://ssc.jhmi.edu/travel/policy.html](http://ssc.jhmi.edu/travel/policy.html).

International per diem rates can be found on the State Department website: [https://aoprals.state.gov/web920/per_diem.asp](https://aoprals.state.gov/web920/per_diem.asp)

5.2.2.1 Audit of Chair/Director/Head Reimbursement Requests

To ensure compliance with the University one-up reimbursement approval policy, a review of Chair/Director/Head travel and business expense reimbursements will occur on a quarterly basis by the Engineering Business Office. If problems are discovered upon reviewing expenses, the person who processed the reimbursement or the department/center/institute’s administrator will be contacted for further review. If the expenses are deemed to not be in compliance with the aforementioned policy, the appropriate corrections will need to be processed by the department and additional training will be required. If problems persist with travel and business expense reimbursements, this presents a compliance risk and the department/center/institute may be subject to a full audit.

The EBO will use a combination of judgment and randomness in sampling 5-10 individual transactions made by Chair/Director/Heads each quarter. Individual reimbursements greater than $5,000 and or the cumulative reimbursement of a Chair/Director/Head’s reimbursements greater than $10,000 per quarter represent a higher risk and will be examined. In addition, each Chair/Director/Head will have all of their quarterly activity examined at least once per year. Once the reimbursement transactions are identified they will be reviewed by examining all receipts to determine if the expenses are allowable, allocable, reimbursable, and reasonable. If a transaction does not pass the initial check, the department will be contacted to correct the transaction and opportunities for additional training will be identified and communicated to the department management.

5.2.2.2 Addendum to the JHU Alcohol Policy

Effective immediately and in accordance with section AP-TRV-PL-21 of the JHU travel policy document, alcohol is a reimbursable expense as long as the alcoholic beverages were purchased for a business meal or social event with a business purpose. Alcohol should be reasonable, not a lavish or excessive expense, and appropriate amounts should be purchased for the event.

According to the JHU travel policy, “…a bottle of wine costing $75 could be determined to be lavish or more than one bottle of wine for two people for one meal could be considered excessive.” The WSE will use the following guidelines when reimbursing faculty and staff for the purchase of alcohol and/or alcoholic beverages:

Alcohol Purchased During a Business Dinner

For wine purchased during a business dinner (as defined in the JHU travel policy) at a restaurant, a mid-range bottle of wine should be chosen and should serve 2-3 people. For 3-4 people, 2 bottles would be reasonable.
Alcohol Purchased for an Event

For wine purchased for a JHU-sanctioned event or party, bottles should cost no more than $35/bottle and it should be assumed that 3-4 people will be served per bottle. For liquor purchased for an event or party, bottles should cost no more than $35/bottle and should serve 4-6 people per bottle.

If the department is unable to make a determination of what is reasonable and allowable, the department should solicit help from the Engineering Business Office in this decision.

Reimbursements for University Faculty and Staff are processed via the SAP Travel Module’s TRIP transaction. The WSE will not reimburse faculty or staff for alcohol purchases determined to be lavish or excessive. In the even that a purchase of alcohol is determined to be lavish or excessive, the WSE will partially reimburse the purchaser for a reasonable and appropriate level as determined by the Engineering Business Office. Faculty or staff may appeal the determination of the Engineering Business Office to the Associate Dean of Finance and Administration.

In all cases, the proper use of the standard Unallowable General Ledger code “Meals and Entertainment Unallowable” code 642001 is required for alcohol reimbursements. Alcohol is never to be charged on sponsored funds. For further questions, please contact the Engineering Business Office.

6 CENTERS and INSTITUTES

The purpose of research centers and institutes is to foster and facilitate collaborations across disciplines and to enhance the WSE’s faculty members’ ability to secure external funding for research. Generally, a group of faculty with multiple sponsored funding sources in a specific research area is required for initiating a center, while an institute consists of at least one large center grant plus other related funding.

6.1 Formation of Research Centers & Institutes

Prior to the formation of a center/institute in the WSE all of the following criteria must be satisfied:

i. The proposed center/institute’s activities will be focused on a specific research area or application which spans several typical departmental sub-disciplines

ii. The proposed center/institute’s activities will be funded by one or more major multi-investigator external research grants or contracts or by funding awarded specifically for the center’s activities

iii. The proposed center/institute will have the active participation of three or more tenure-line faculty members

iv. The proposed center/institute’s faculty members will represent at least two different departments or technical disciplines

v. The proposed center/institute will have a charter approved by the Dean and written in collaboration with the Associate Dean for Research and the Associate Dean for Finance and Administration.
6.2 Center & Institute charters

The center/institute charter shall include the following elements:

i. The intellectual and research rationale for the center/institute

ii. Who the core faculty members in the center/institute will be initially.

iii. How the center/institute will be governed, including how the center/institute will transition with a change in leadership

iv. Lines of authority to the Dean’s office

v. What resources will be needed to run the center/institute operations. These may include:
   a. Initial start-up funds
      i. Faculty discretionary
      ii. Department/center discretionary
      iii. Gifts
      iv. WSE or other Divisional contributions
   b. Ongoing support from WSE (see Appendix D for most current budget model)
   c. Five-year business plan that includes projections and expenses. It is expected that the center/institute will become financially independent by the fifth year of operation. It is expected that financial and administrative services will be provided by WSE departmental staff until such time as the center/institute can financially support their own staff.
   d. Possible space needs

vi. Expiration or renewal date.

vii. Procedures for sunsetting/decommissioning should external funding or research goals not meet expectations

For a center to continue past the initial 5-year expiration date, a new charter must be submitted. Renewal periods will be for 3 years thereafter. The renewal review criteria will include ensuring that the center/institute is scientifically and financially viable.

6.3 Restrictions on Supplemental Faculty Incentives.

Center/institutes are not to use any funds provided to offer additional incentives for faculty to submit proposals through a center/institute. Centers and institutes found to be doing this will have their budget allocations reduced or be put on a path to sunsetting. Directors are expected to monitor the sponsored projects being submitted through their center to ensure that the proposals are in direct relation to the scientific goals of the center or institute.

7 RESEARCH

7.1 Cost Sharing on Grants and Contracts

The WSE is committed to supporting the research activities of its faculty through a variety of resources, including cost sharing when required by a sponsor. Potential cost sharing should be discussed with the Associate Dean of Finance and Administration at the time of proposal preparation, not at the time of proposal submission, and should consist of a detailed budget of
expenses to be covered. Proposals with cost sharing will not be approved by JHURA if a fully-signed cost sharing approval form has not been uploaded.

According to JHU policy, the University's goal is to ensure that cost sharing is proposed, accounted for and reported consistently with guidelines established in the Office of Management and Budget (OMB) Uniform Guidance 2 CFR 200.306 & Subpart E - Cost Principles. The Federal government defines cost sharing as the portion of project costs not borne by the sponsor. Cost sharing commitments represent an implied or explicit agreement on the part of the University to ensure that non-sponsored resources are contributed to a project.

Guidelines for cost sharing as defined in OMB Uniform Guidance 2 CFR 200.306 are fully incorporated into the University policy. To review 2 CFR 200.306 http://www.ecfr.gov/cgi-bin/text-idx?node=2:1.1.2.2.1. According to OMB Uniform Guidance, expenditures must satisfy the following criteria to be considered as cost sharing:

a. Be verifiable from official University accounting records
b. Not be used as cost sharing for any other sponsored program
c. Be necessary and reasonable for proper and efficient accomplishment of project objectives
d. Be allowable under the applicable cost principles, OMB Uniform Guidance 2 CFR 200 Subpart E
e. Not paid by the federal government under another agreement
f. Be incurred during the effective dates of the grant or contract
g. Are provided for in the approved budget when required by the federal awarding agency
h. Unrecovered indirect cost, including indirect cost on cost sharing may be included as cost sharing with prior approval (i.e. the unrecovered F&A on cost-shared expenses)

According to 2 CFR 200.306, “Under Federal research proposals, voluntary committed cost sharing is not expected. It cannot be used as a factor during the merit review of applications or proposals, but may be considered if it is both in accordance with Federal awarding agency regulations and specified in a notice of funding opportunity. Criteria for considering voluntary committed cost sharing and any other program policy factors that may be used to determine who may receive a Federal award must be explicitly described in the notice of funding opportunity. See also §§200.414 Indirect (F&A) costs, 200.203 Notices of funding opportunities, and Appendix I to Part 200—Full Text of Notice of Funding Opportunity.”

It is the practice of JHU and the WSE to provide cost sharing on grants and contracts only when required by the program announcement. It is also expected that grants and contracts will include at least the full federally-negotiated F&A rate unless the sponsor has a published rate lower than JHU’s negotiated rate.

University contributions may be funded internally or from a third party (no federal funds) and consist of cash (e.g., faculty salary, tuition, funds to help purchase equipment or make renovations, return of F&A) or in-kind contributions. In-kind contributions from a third party must be documented at the fair market value.

Unless specified otherwise in the program solicitation, WSE will provide cost sharing in the following ways and in the following order:
i. **Graduate student tuition.** Any doctoral student tuition not charged to the grants should be used in the cost share calculation. The PI or department is responsible for covering the amount of tuition not usually covered by the WSE (e.g. 20% in years 2-6).

ii. **Faculty salary.** One month of faculty “academic year” salary should be provided as cost sharing for each month of “summer” salary charged to the grant. Equivalently, a dollar of “academic year” salary should be provided as cost sharing for each dollar of faculty salary support charged. Faculty salary cost sharing also should include fringe benefits as well as the F&A that usually would be charged on the salary and fringe benefits. Cost-shared salary will not be used for faculty scholarship funding calculations.

iii. To the extent that this support is used to support activities that would carry F&A costs (salary, fringe, etc.), these indirect costs should be counted as cost sharing as well.

iv. **Major capital equipment.** Departments and/or centers are expected to contribute half of the amount of total cost sharing on equipment. When there are multiple investigators from multiple departments, the departments will split the departmental contribution based on the number of investigators. Departments can request that their contribution(s) be lowered (typically to one third or one quarter of the total cost sharing required) if the equipment is to be part of a shared facility that will be used by a large number of faculty in the school. Cost sharing on equipment is considered “cash.” Departments, faculty or groups of faculty who want to request a reduction in the amount that departments contribute need to do so in writing. This request should be made to the Associate Dean for Finance and Administration at the time of proposal preparation (not when the proposal is being routed for signatures). This request should provide details of how the equipment is to be shared, where it will be housed, how it will be operated and maintained, as well as a list of faculty who plan to use the equipment. The list of faculty should include co-investigators on the grant as well as any “additional investigators” (if the number of co-investigators is limited by the funding agency). It should be noted that new faculty who have start-up funds provided by the School to purchase equipment are expected to use these funds to meet the cost-sharing requirements of any proposal or grant in place of further support from the School.

v. **WSE Funds.** Research support provided to centers (see section 6) is counted as a “cash” contribution to the cost sharing.

Unless exceptional circumstances exist, required cost share funds beyond those discussed above will be split equally between the faculty member, the Department/Center/Institute requesting the cost sharing, and the WSE.

For proposals involving faculty members in both the WSE and other divisions, it is practice for the cost sharing to be divided between the schools based on the fraction of professors (tenure-track and research professor ranks) from each school. Exceptions to this policy generally only are made when the F&A split between the schools is highly out of balance with the split in cost sharing. Separate permission should be sought from appropriate Dean for Research by the PI.

### 7.2 Proposal Submission Deadlines

Due to the number of proposals submitted and the possibility that a sponsor’s electronic system could be down or slow close to a deadline, the Johns Hopkins University Research
Administration Office (JHURA) requests that the complete (including research plan) proposal application is submitted to them three full business days before the sponsor’s deadline. It is WSE’s intent to have their faculty comply with that deadline. If a complete and final proposal, including all scientific portions, has not been fully submitted to JHURA by 11am on the due date of the proposal, the school cannot guarantee that the proposal will be submitted. This supersedes any prior memos or emails about when or what paperwork is due.

7.3 Research Reinvestment (RR) Funds

Granting agencies have regulations that restrict the use of federal funds. To give its faculty some flexibility in research expenditures, the WSE provides each tenured or tenure track faculty member, each research professor track faculty member\(^1\) and each research staff member\(^2\) who has external sponsored expenses running through WSE, with a discretionary account drawn from general funds. Non-WSE PIs must have space in WSE or employ/advise WSE graduate students in order to receive funds. This “Research Reinvestment” (RR) is the equivalent of 5% of the F&A for all on- and off-campus grants and contracts. Faculty members do not receive RR on grants that receive cost sharing other than in-kind contributions until the school has recovered both the direct cost of the cost share and the incremental administrative costs of running the grant. For example, if the school provides cost share of $200k in total on a grant, $327,750 in F&A ($200k*1.6375) would need to be recovered before RR return begins on that award. This will be done in a cumulative fashion not tied to a specific fiscal or grant year. Since a lower-than-federal rate is also considered cost sharing, there will not be RR funds given on awards without the appropriate federal rate, or the full JHU rate for non-federal awards. In addition, there will be no RR returned on “Research Initiation Grants.” See section 7.6 for more detail on initiation grants.

RR funds may be used for research purposes, equipment purchases, travel, student support or faculty salary support or to cover cost share/cost overrun amounts. These funds may not be used in a manner that entails a long-range commitment by the Whiting School (for example, to create new faculty positions) or for purposes not related to WSE research functions. If a faculty member leaves the WSE any unspent funds will revert to the Dean. The departing faculty member may negotiate, with the approval of their Chair/Director/Head, with the Vice Dean of Faculty to use remaining funds for obligations to support remaining WSE students.

7.4 F&A Rate Guidelines

The F&A rates negotiated with the federal government are to help off-set the cost of doing sponsored activity at the University. The amount recovered by the F&A calculation is a partial reimbursement of costs incurred by the department, school, and University for the research activity, including costs such as utilities, maintenance, and other operating costs. Since the amount does not fully cover the costs associated with research activity at the WSE, it is important to request the full rate in every proposal submitted.

7.4.1 Non-Federal F&A rates

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\(^1\) Assistant Research Professor, Associate Research Professor and Research Professor.

\(^2\) Assistant Research Scholar/Scientist/Engineer, Associate Research Scholar/Scientist/Engineer, Research Scholar/Scientist/Engineer and Principal Research Scholar/Scientist/Engineer.
Non-Federal grant proposals are not limited to the federally-negotiated rate. When a proposal is being written to request funds from non-federal sources, it is expected that the full indirect rate will be used (68% as of 7/1/18) and will be calculated on the total direct costs (TDC) rather than the modified total direct costs (MTDC, which doesn’t include tuition or equipment in the calculation). Any deviation from this must be approved by the Associate Dean for Finance and Administration before proposal submission via a cost share request form (see section 7.1). Please check with the EBO for the most current rate.

If a sponsor limits/forbids the payment of F&A as their policy, it is expected that the department will budget any F&A that is allowed plus the appropriate direct costs that will enable the School to recover the true costs of performing the project. If the total costs are not recovered, then cost sharing must be requested via the WSE cost share request form.

For any proposal with a total cost over the entire project period of $100,000 or greater, the department is required to budget F&A plus F&A-related direct cost items (see list below) equivalent to a minimum of 26% TDC F&A.

For those proposals less than $100,000, the department is still required to budget any F&A that is allowed, but the addition of direct cost F&A items is at the discretion of the Associate Dean of Finance and Administration. To request this waiver, the cost share form should be completed and submitted before the proposal is routed to JHURA. The department administrator and/or Chair/Director/Head should review the proposal to determine if the department can afford to accept the award at a reduced F&A level.

If a sponsor limits the F&A JHU can recover, the department must provide JHURA with a current copy of the sponsor’s published F&A policy uploaded into the Coeus record before the proposal is submitted.

Below is a list of F&A-related direct cost items, as well as narratives that can be used in budget justifications for each cost. All appropriate costs should be included.

- The equivalent of the 2% on TDC for Compliance and Audit Costs includes the following cost categories:
  - Legal Fees (foreign country registration; employment law compliance)
  - Audit Expenses
  - Project Compliance

NARRATIVE: Compliance and Audit Costs – Costs incurred by the school to implement, maintain and monitor project compliance with state and federal laws and regulations, to engage legal and audit services required for the project to operate effectively, ethically and legally.

- The equivalent of 2% TDC for grants or 3% TDC for contracts for Research Facilitation/Proposal Development Costs (i.e. research administration services):

NARRATIVE: Research Facilitation/Proposal Development Costs: Research administration activities which include proposal creation and budget preparation, assurance of compliance with federal regulations and sponsor policies, and subaward issuance and monitoring.

- The equivalent of 2% TDC for Computing Services/Central Information Systems:
NARRATIVE: Computing Charges – These charges are for the operation and maintenance of the school’s information systems which provide computing, networking, computer purchasing support, and software development services. They are calculated based on personnel’s level of effort and project duration.

- The equivalent of 2% TDC for Library Usage:

NARRATIVE: Libraries Usage Surcharge – This charge is associated with the cost of operating and maintaining over a dozen library facilities available to the university’s faculty, staff, and students. These libraries offer specialized collections in medicine, international affairs, health, and business. Additionally, the web-based databases, electronic books, and electronic journals provided by JHU’s main library are accessible through remote access for all JHU affiliates. These charges are calculated based on personnel’s level of effort and project duration.

7.4.2 Use of off-campus F&A rates

Research that is conducted off-campus, where rent and utilities are charged as direct costs, carries a lower F&A rate than research that is conducted on campus. When faculty who are usually located on campus are away from campus for an extended period, it may be appropriate to charge the off-campus F&A rate. See below for guidance on the use of off-campus rates for single and multi-investigator proposals.

Single Investigator Proposals

To qualify for off-campus F&A, the faculty member and all others working on the project must be away from campus for at least three consecutive months, and her/his office (as well as affected laboratories) must be made available for use by others during that time. It is WSE policy that all single investigator proposals use only a single rate to calculate F&A depending on whether the work will be performed primarily on campus or primarily off campus (i.e., no splitting of the F&A rate is allowed for single investigator projects that are performed partly on campus and partly off campus).

Multi-Investigator Proposals

Faculty members participating in multi-investigator proposals may only use the off-campus rate for their portion of the project if they will be away from campus for at least three consecutive months, and their offices (as well as affected laboratories) are made available for use by others during that time. As with single investigator proposals, no splitting of the F&A rate is allowed for any WSE investigator’s portion of the project. WSE requirements regarding the use of the off-campus rate apply to WSE investigators involved in multi-investigator proposals regardless of the F&A rate policies in other JHU divisions or at other institutions.

7.4.3 Retainable Sponsored Surplus Balances

If a fixed-price contract ends with a surplus balance, the WSE will retain an amount equal to the negotiated F&A rate times the awarded base (TDC, MTDC) expenditures minus the amount of F&A already collected. The WSE will also retain any direct costs budgeted (space, admin fees, etc.) for F&A recovery. If the award F&A rate was less than 20%, the WSE will retain an amount equal to 20% the TDC base, less F&A already collected.
7.5 Allocation Accounts for Key Personnel

The Whiting School believes that research collaborations are beneficial to all involved and encourages this whenever appropriate. To ensure proper credit to investigators and their Departments, it is School policy that allocation (sponsored program) accounts be established in their name in their home department, center, or institute for each investigator named in the proposal as key personnel, to cover their salary, graduate student support, materials, travel, and other costs. The threshold to establish an allocation account is ~5% of the faculty member’s salary or other direct costs that total the equivalent of ~5% of the salary. Fringe, F&A costs and cost-sharing responsibilities should follow these allocations. To make the financial split clear, there should be estimates of these allocations amongst investigators, departments, and schools at the time of proposal submission.

7.6 Support for Early Career Faculty Receiving Research Initiation Grants

In addition to the start-up funds discussed above, in those cases where no cost sharing is provided (other than funds committed in the startup package, in-kind cost sharing of graduate student tuition, and in-kind support of faculty academic-year salary), it is WSE policy to provide to early career tenure-line faculty members an amount that is equivalent to 25% of the F&A generated on grants that are formally designated by the sponsor as “Research Initiation,” “Young Investigator,” “NSF CAREER Awards,” or “New Faculty” awards. The funds will be disbursed from the School’s general funds. This applies to any agency and can apply to multiple grants. These funds can be used at the discretion of the faculty member for any legitimate University expense related to their research in the WSE. Distributions are made at the same time as Research Reinvestments funds. No operating funds are provided to Centers on research initiation grants.

8 GRADUATE STUDENTS

8.1 PhD Financial Support

All PhD students in a fulltime, resident status must be fully supported (tuition, salary/stipend, and individual health insurance premium) by internal or external funds for the duration of their PhD program while they remain in a fulltime, resident status. No PhD student can be self-funded and the WSE Dean’s office will not support salary/stipends or health insurance premiums.

Prior to making an offer of admission, every faculty advisor, with their department/program, should formulate a general financial support strategy for each PhD student for the duration of their degree program. One way to accomplish this is through the use of the PhD Funding Outline Form, available by request through the Office of Graduate Affairs. Though use of the form is not mandatory, having an internal procedure to plan and strategize funding support for each PhD student is strongly encouraged.

8.1.1 PhD Tuition Support

The Dean’s Office will provide the following PhD tuition support:

- 100% tuition for 1st year students
- 80% tuition for 2nd-6th year students

38
60% tuition for students in their 7th year and beyond

Faculty advisors and/or Departments are responsible for ensuring that the balance of tuition support is covered.

8.1.2 External Fellowship/Training Grants Tuition

In cases in which students are supported either by external fellowships which they have secured or on training grants secured by the faculty, the WSE expects that the full tuition amount allowable by these sources of funding will be charged to the fellowship or training grant.

In cases where students are supported by external awards with private companies or foundations that do not pay the full federally-negotiated F&A rate, it is WSE policy that 100% tuition should be charged; however, a partial tuition fellowship may be granted in exceptional circumstances by submitting a cost share request form to the Associate Dean of Finance and Administration.

8.2 PhD Tuition Return

Once a faculty advisor has supported all of their PhD students, in aggregate, consistent with the chart in section 8.1.1, a return will be given. Any amount in excess of:

- 0% for 1st year students
- 20% for 2nd-6th year students
- 40% for students in their 7th year and beyond

will be split 50%/50% between the faculty advisor and the student’s academic, first-major department.

8.3 D.Eng. Financial Support

The Doctorate of Engineering (D.Eng) degree is a non-residential professional degree for mid-career engineering professionals who already hold a Master’s degree. There are two parts to the financial support, tuition and a research project. As the program is adaptable to different workplaces, details of the program may change but it is expected that the student’s employer will pay all tuition and project costs. There will be no sharing of tuition.

8.4 Master’s Financial Support

It is Whiting School policy to charge full tuition for MS, MA, and MSE candidates due to the extensive coursework and facilities use required. The WSE does have a limited number of fellowship programs, including those for students who have either completed their Bachelor’s degree in the WSE/KSAS or are accepted into a combined bachelor’s/master’s program and are in an active graduate status (the Dean’s Master’s Fellowship), and the Morgan and GEM Fellowships (please contact the Office of Graduate Academic Affairs for details).

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3 NSF Fellowships, ONR Fellowships, etc.
8.5 Master’s Tuition Return

Master’s programs can opt to offer tuition and/or salary/stipend/individual health insurance fee support (from departmental/advisor/PI funds) to any master’s student at their discretion and in compliance with nondiscriminatory practices, up to 15% of the total tuition fee. The first-major department/program will collect 50% of the net of any generated tuition revenue. The remaining 50% of the net of any generated tuition revenue will go to the Dean’s Office. If a department decides to offer a larger waiver, that will come from the department’s 50%. The 15% will be calculated in aggregate so it is possible to offer one student 30%, one student 0%, and still balance to the 15% support per student available.

BS/MS students receive a 50% waiver of tuition from the WSE Dean.

8.6 Health Insurance for Graduate Students

8.6.1 Requirements

All full-time graduate students are required to maintain adequate health insurance coverage to provide protection against unexpected accidents and illnesses. Part-time graduate students are not required to provide proof of health insurance with the exception of international students in J-1 status who must meet U.S. Department of State requirements. For more information on this, refer to the Office of International Services website: ois.jhu.edu.

8.6.2 Health Insurance Enrollment for Graduate Students

- **Fulltime, Resident Graduate Students**

  All full-time graduate students are eligible for and are automatically enrolled in the Student Accident and Sickness Plan administered by Consolidated Health Plans (the provider is Cigna). Eligible domestic full-time graduate students may request to waive the University-sponsored plan, but to do so, the student must provide evidence of a comparable policy (more information can be found at the Office of the Registrar website: http://www.jhu.edu/registrar/health.html). All international full-time students are required to enroll in the University-sponsored plan to ensure sufficient local coverage and are typically unable to qualify for a waiver of enrollment.

- **Fulltime, Nonresident Graduate Students**

  Nonresident students are automatically enrolled by default into CHP but are not required to maintain the insurance if they can prove other equitable coverage. Nonresident doctoral and master’s students are responsible for the costs of the CHP plan if they don’t waive out and/or their advisor/department is not paying on their behalf.

- **Part-time graduate students**

  Part-time graduate students are eligible to enroll in CHP at their own cost and are not automatically enrolled.

- **Pre-Semester Completers**

  Please consult with department/program Academic Staff and/or the Office of Graduate Academic Affairs (Assistant Dean for Graduate and Postdoctoral Academic Affairs) when advising pre-semester completers in either the Fall or Spring semesters. There are coverage period nuances to take into consideration.
Graduate Students on Medical Leave of Absence

Due to legal constraints regarding the eligibility related to our health insurance coverage, any student on a medical leave of absence (MLOA) should consult with the health insurance desk in the registrar’s office. With approval, and if already enrolled and eligible in CHP at the initial time of taking the MLOA, students may retain their coverage until the end of that academic year’s coverage period, and potentially can add an additional three months of coverage at a higher MLOA rate. This will be largely at their own cost except by special dispensation by the student’s academic department. Departments should consult with the Assistant Dean for Graduate and Postdoctoral Academic Affairs when advising a student considering MLOA.

8.6.3 Enrollment Waiver Timing

If a student qualifies for a waiver of the CHP enrollment, they will have to make this request via the Health Insurance Desk in the registrar’s office BEFORE the end of the refund period (30 days after the start of the annual coverage which begins on August 15 each year). Failure to waive in a timely manner may result in irreversible premium charges to the student’s account. If a department is paying for health insurance, this could impact any refund to those funds.

Health Insurance Premium Costs for Graduate Students

All full-time graduate students will be charged automatically with the Mandatory Health Insurance Premium for the cost of the University-sponsored plan. The WSE Dean’s Office will fund health insurance under certain conditions (Appendix C) for full-time graduate students only. Students in a part-time status in a fulltime program may choose to purchase the student health insurance at their own expense, or with voluntary financial assistance of their program/ faculty advisor. Students in a nonresident status will be automatically enrolled in the health insurance, and if they are not approved for an enrollment waiver will be responsible for the cost on their own, or may be supported via the voluntary financial assistance of the faculty advisor or department. Departments should be mindful of mid-semester status changes and make the appropriate DGA adjustments at their discretion. Questions regarding timing and responsibility may be directed to the Assistant Dean for Graduate and Postdoctoral Academic Affairs in the Office of Graduate Academic Affairs.

Coverage of the mandatory health insurance premium for full-time, resident, degree-seeking doctoral students—those receiving an 100%, 80%, or 60% tuition waiver from the Dean’s Office and a full stipend from the program—is dictated by whomever pays the student’s stipend and supplemental tuition (i.e., the remaining 20%, 40%, etc.). That is, whatever source pays the 20%, 40%, etc. balance of the tuition is also responsible for paying for the health insurance (unless the student has requested and received an insurance enrollment waiver).

All full-time master’s students and all full-year nondegree visiting graduate students (VGS) who enroll in the University sponsored-plan will be required annually to pay the first $500 ($250 per semester) towards the mandatory health premium for the year. Partial-year nondegree visiting graduate students (VGS) (defined as in attendance for one semester or less) are able to enroll in monthly CHP coverage and are required to pay the first $250.00 of their premium out of pocket, with the balance to be paid primarily from their host dept. /faculty advisor.
Health Insurance Premium Payment Sources:

- If the supplemental tuition funding source is from sponsored, general, endowed, or gift accounts (this does not include departmental operating budgets), the health insurance (minus $500 for master’s or full-year nondegree visiting students and the first $250.00 for partial-year nondegree visiting students (VGS)) should be charged to the same source as the supplemental tuition.
- If the supplemental tuition/funding source is outside the University (i.e., corporation, foreign country, external fellowship, etc.), the health insurance (minus $500 for master’s or full-year nondegree visiting students (VGS)) and the first $250.00 for partial-year VGS) should be paid by this outside source, if possible.
- If the supplemental tuition source is the student/other such personal funds, the health insurance (minus $500 for master’s or full-year nondegree visiting students (VGS)) and the first $250.00 for the monthly premium cost for partial-year VGS) can be charged to the WSE Dean’s Office.
- In instances where the WSE Dean’s Office is covering a graduate student’s mandatory health premium, only the student’s health premium can be charged to this account.
- Some special arrangements made with external organizations (e.g., Morgan State University and GEM) require us to make exceptions to the policies; these are extremely limited in nature. Please consult with the Office of Graduate Academic Affairs (Assistant Dean for Graduate and Postdoctoral Academic Affairs)
- If the student wishes to purchase additional coverage for family members, this must be done at their own expense or charged to either department operating funds or the faculty advisor’s funds and would be a taxable benefit so should be paid via an ISR supplement. This cannot be charged to sponsored or the WSE Dean’s office.

8.7 Health Insurance for Postdoctoral Fellows

As part of their fringe rate benefits, all WSE fulltime postdoctoral fellows are eligible to receive individual health care plan coverage free of charge. The coverage is through the Student Health Plan (SHP), a subsidiary of JH EHP. Fellows must complete and submit enrollment paperwork upon arrival on campus. International postdoctoral fellows are generally unable to waive this coverage. The forms may be found here: [http://postdoc.jhu.edu/postdoc-info/handbook/services/](http://postdoc.jhu.edu/postdoc-info/handbook/services/) and should be submitted to the WSE/KSAS Human Resources Office in Wyman Park Suite 650. Insurance coverage is effective from the first day of the postdoctoral fellow’s appointment.

Costs included in the fringe rate benefit calculations for a postdoctoral fellow position will be automatically charged to the postdoc’s salary funding source. If a postdoctoral fellow wishes to purchase additional insurance coverage for family members, this must be done at their own expense, or with financial assistance of the faculty advisor using non-sponsored sources. This would be a taxable benefit so should be paid via ISR as a supplement.

Questions about postdoc benefits enrollment and coverage should be directed to KSAS/WSE HR at postdocbenefits@jhu.edu. Note that the Registrar’s Office on the Homewood Campus is no longer handling any aspect of Postdoctoral Fellow benefits.
APPENDIX A: NON-REIMBURSABLE BUSINESS EXPENSES

Non-Reimbursable Expenses

An employee cannot be reimbursed with JHU funds under the accountable plan rules for the following miscellaneous personal expenses (the list is not all inclusive, please see the JHU Travel Guide on policies.jhu.edu for a full list):

- Visa, passport and immigration costs for family members
- Airline club membership dues
- Airfare purchases with "points"
- Air phone usage
- Annual fees for personal credit cards
- Baby-sitting
- Barbers and hairdressers
- Car maintenance or repairs
- Cell phones, smart phones, or similar devices and any accessories
- Charitable contributions made by faculty and staff to organizations
- Commuting expenses (to and from work)
- Clothing or toiletry items
- Corporate card delinquency fees or finance charges
- Country club dues
- Club membership dues, see Club Memberships, section AP-TRV-PL-20
- Donations
- Golf fees
- Health club fees
- Health insurance
- Home internet access
- Home telephone service
- Hotels paid for with "points"
- JP Morgan fees for travel reward program (or similar fees with other credit card companies)
- Laundry or valet services for travel of less than four days
- Medical expenses while traveling including over-the-counter medications
- Mini-bar alcoholic refreshments
- Movies (including in-flight and hotel in-house movies)
- "No show" charges for hotel or car service - unless documented and approved by business area/department
- Optional travel or baggage insurance
- Parking tickets or traffic violations
- Personal accident insurance (domestic)
- Personal entertainment, including sports events
- Personal items purchased while traveling including toiletries, magazines, books, newspapers, etc.
- Personal luggage and briefcases
- Personal property insurance
- Personal property lost or stolen
• Personal telephone calls in excess of reasonable calls home
• Pet care including kenneling
• Purchase of services (see Reimbursement for Purchases)
• Saunas, massages or other spa services
• Shoe shine
• Ski lift tickets
• Souvenirs or personal gifts
• Spouse or family member travel or meals [pending clarification]
• Temporary housing - see Moving Expense Policies and Procedures
APPENDIX B: Fragomen Chart

The Department must assume ALL costs associated with Labor Certification and recruitment [highlighted fees on the chart below]. These costs cannot be paid by the foreign national, the foreign national’s salary cannot be reduced, nor can scheduled increases be withheld to mitigate these costs. These fees are subject to change at any time.

<table>
<thead>
<tr>
<th>Application</th>
<th>Legal Fees</th>
<th>Administrative Fee</th>
<th>DOL/USCIS Filing Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Labor Certification (PERM)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Teaching Position – existing selection</td>
<td>$2,000</td>
<td>$100</td>
<td></td>
</tr>
<tr>
<td>• Teaching Position – new selection</td>
<td>$3,000</td>
<td>$150</td>
<td></td>
</tr>
<tr>
<td>• Non-Teaching Position</td>
<td>$4,000</td>
<td>$200</td>
<td></td>
</tr>
<tr>
<td><strong>Response to DOL Audits</strong></td>
<td>Variable/Hourly</td>
<td>Variable/Hourly</td>
<td></td>
</tr>
<tr>
<td>I-140 Petition Based on an Approved Labor Certification</td>
<td>$1,000</td>
<td>$50</td>
<td>$580</td>
</tr>
<tr>
<td>I-140 Petition Based on Alien of Extraordinary Ability or Outstanding Professor/Researcher</td>
<td>$4500</td>
<td>$225</td>
<td>$580</td>
</tr>
<tr>
<td>[If Premium processing is required, additional $1225]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Application to Adjust Status (AOS) or for Immigrant Visa Processing (includes spouse)</td>
<td>$2,000</td>
<td>$150</td>
<td>$1070 [x2 if spouse]</td>
</tr>
<tr>
<td>Additional Family Member</td>
<td>$500</td>
<td>$25</td>
<td>$1070 if over age of 14. $635 if under age of 14</td>
</tr>
<tr>
<td>Application for Employment Authorization</td>
<td>$500</td>
<td>$25</td>
<td>None if filed concurrently with AOS</td>
</tr>
<tr>
<td>Application for Advance Parole</td>
<td>$500</td>
<td>$25</td>
<td>None if filed concurrently with AOS</td>
</tr>
<tr>
<td>Response to Agency Requests for Evidence</td>
<td>Variable/Hourly</td>
<td>N/A</td>
<td>None if filed concurrently with AOS</td>
</tr>
</tbody>
</table>

DOL: Department of Labor
USCIS: United States Citizenship & Immigration Services
PERM: Permanent Labor Certification
### APPENDIX C: General Funding Responsibility Breakdown for Graduate Students and Postdoctoral Fellows*

<table>
<thead>
<tr>
<th></th>
<th>TUITION</th>
<th>HEALTH INSURANCE PREMIUM FEE</th>
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<tbody>
<tr>
<td></td>
<td>School Fellowship/Dean’s Office Tuition Waiver</td>
<td>(INDIVIDUAL ONLY, NOT INCLUSIVE OF DEPENDENTS)</td>
</tr>
<tr>
<td></td>
<td>Supplemental Tuition (Department and/or student/external sources)</td>
<td>WSE Responsibility (WSE= departmental/faculty advisor/Dean’s Office. Please read the below caveats.)</td>
</tr>
<tr>
<td>Postdoctoral Fellows</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Fulltime, resident PhD Students</td>
<td>100% (first year), 80% (years 2-5), 60% years 6+</td>
<td>0%, 20%, 40%</td>
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<tr>
<td>DEng</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Combined Bachelor’s-Master’s/ASEN Alumni Fulltime Master’s Students</td>
<td>50% (Dean’s Master’s Fellowship-when eligibility is confirmed)</td>
<td>Varies (at department’s discretion)</td>
</tr>
<tr>
<td>Partially supported fulltime Master’s Students</td>
<td>0%</td>
<td>Varies (at department’s discretion)</td>
</tr>
<tr>
<td>Full Pay Fulltime Master’s Students</td>
<td>0%</td>
<td>100% student</td>
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<td></td>
<td>0%</td>
<td>100%</td>
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<td>------------------------------------------------------------------</td>
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<tr>
<td><strong>Full Year Nondegree (Visiting Graduate Students and Visiting</strong></td>
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<tr>
<td><strong>Graduate Scholars (VGS))</strong></td>
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</tr>
<tr>
<td><strong>Partial Year Nondegree (Visiting Graduate Students and Visiting</strong></td>
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<td><strong>Graduate Scholars (VGS)</strong></td>
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As of 7/1/18

*Please discuss special situations/questions with the Office of Graduate Academic Affairs (Assistant Dean for Graduate and Postdoctoral Academic Affairs).*
APPENDIX D: Center/Institute Budget Model

The center/institute budget model is an incentive-based budget: the more F&A generated by the center/institute, the greater percentage of return to the center:

- Up to $100K - 10%
- Between $101K and $250K – 20%
- Between $251K and $1.25M – 30%
- $1.251M and greater – 4-%

Budget model requirements:

- Minimum annual cash operating margin of 4%
- Contribution towards school cash target – minimum of 60 days cash
- Contribution towards school overhead – overhead tax (currently 15% but subject to change)