Purpose: From time to time faculty may obtain outside research funding either as contracts and grants processed through the University’s Office of Research Administration and Advancement or as gifts processed through one of the foundations associated with the Smith School and/or the University. In many cases, these funds can be used to support the stipends of PhD students. This policy seeks to encourage such behavior and to reward faculty who bring in such funding.

In both cases described below, it is assumed that the funding has a specific research goal that would require a student to work on a research project supporting that goal. This, in most cases, would require that the student work under the supervision of the faculty member, or faculty group, who provides the funding. It is expected that the faculty involved would provide appropriate mentoring to the supported student(s) during the academic year as well as in the summer. Such funding should not be detrimental to the progress of the PhD students supported and ideally should provide such students with an enhanced experience and enhanced opportunities. Further, specific students should not be required to work under such grants but rather their participation should be requested and freely agreed to.

Case 1: funding is able to support student(s) for an extended, multi-year period of time and the faculty member and department wish to admit additional PhD student(s). In such a case, the associated PhD program would be allowed to admit additional PhD student(s), who could be different from those supported. For the rule to apply external support should be provided for the entire tenure of a PhD student, i.e. 4 or 5 years. On the other hand, it is recognized that in many cases, it is difficult to obtain guaranteed support for 4 or 5 years. Thus, some flexibility can be applied the PhD Program Office and Dean’s Office.

Case 2: funding is able to support student(s) for shorter period of time, e.g. 1 to 4 semesters or the faculty member and/or department does not wish to admit additional PhD students. In such a case, the faculty member or faculty group providing the support would receive an increment to his/her/their ceiling account(s) equal to ½ of the direct PhD salary and benefit support provided by the contract or grant. The ceiling increment will be provided in the same fiscal year in which any salary support is provided.