College of Public Policy Research Handbook

This handbook is intended to assist faculty and staff with an understanding of research activities and policies within the College of Public Policy. All recommendations and policies within this document should conform to the University of Texas at San Antonio's (UTSA) Handbook of Operating Procedures (HOP). In the event of a discrepancy, the HOP is the governing document.

The University of Texas at San Antonio
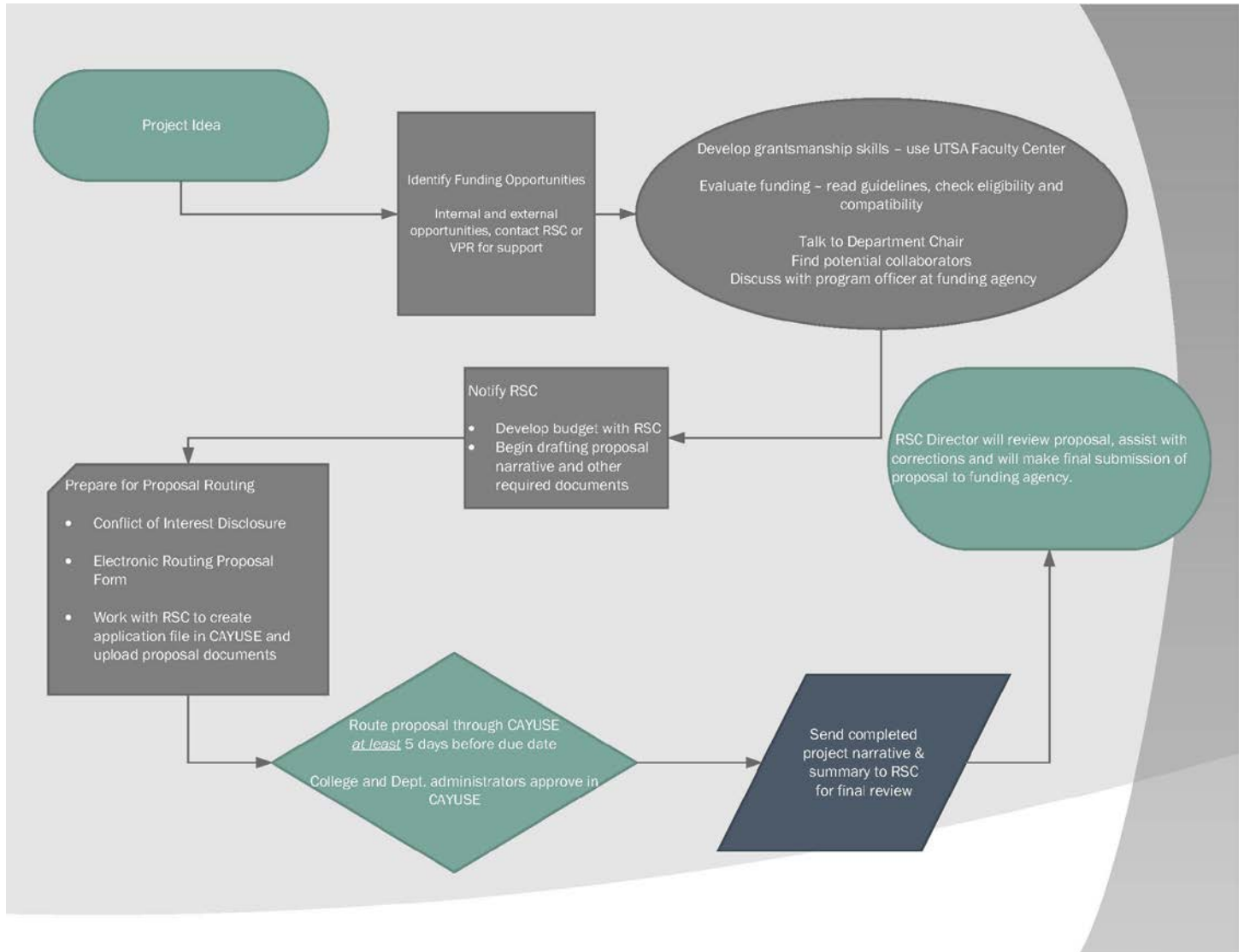
UTSA. Public Policy

Summer 2016

Table of Contents

Research Mission

A critical piece of the College of Public Policy's mission is to promote and support high quality, scientific research. Through external funding and publications, college faculty offer scientifically based policy options and solutions to existing and emerging social problems. Research productivity offers academic enhancements for UTSA students while simultaneously building the University's reputation for research excellence and contributing to the University's goal of Tier One research status. It is through a commitment to scientific excellence that the College of Public Policy contributes to the development of solutions to the most significant issues facing our local community and broader society.

Funded Research

The Grant Proposal Submission Process

Project Idea

Identify Funding Opportunities

Internal and external opportunities, contact RSC or VPR for support

Develop grantsmanship skills – use UTSA Faculty Center

Evaluate funding – read guidelines, check eligibility and compatibility

Talk to Department Chair
Find potential collaborators
Discuss with program officer at funding agency

Notify RSC

- Develop budget with RSC
- Begin drafting proposal narrative and other required documents

RSC Director will review proposal, assist with corrections and will make final submission of proposal to funding agency.

Prepare for Proposal Routing

- Conflict of Interest Disclosure
- Electronic Routing Proposal Form
- Work with RSC to create application file in CAYUSE and upload proposal documents

Route proposal through CAYUSE *at least* 5 days before due date

College and Dept. administrators approve in CAYUSE

Send completed project narrative & summary to RSC for final review

Grant Development Support

Vice President for Research (VPR): The Office of the <u>Vice President for Research</u> supports UTSA's research community by facilitating growth, enabling productivity, and pursuing excellence.

The Office of Research Support (ORS): <u>The Office of Research Support</u>, a division of the VPR's office, offers a variety of grants development resources for individual researchers. Resources include funding search tools, grant writing resources, and faculty workshops. For example, the ORS provides customized services for large, <u>multidisciplinary proposals</u> that are aligned with <u>UTSA's Accelerate 2025: Framework for Top Tier Research</u> (PDF). Many, though not all, of supported proposals will have been selected through the <u>Limited Submission process</u> to represent UTSA. The ORS recommends advanced notice of 2-3 months for large, complex proposals. Requests for Assistance are prioritized according to several factors, including alignment with UTSA strategic priorities, budget size, complexity, multidisciplinarity, timeliness, and current ORS staff capacity. Examples of the kind of proposals eligible for ORS support include center grants, institutional training grants, and infrastructure-building grants. The services will vary according to the needs of the proposal writing team; illustrative examples include: Strategic Consultations, Project Management, Technical Writing, and Grantsmanship Editing & Review. Please contact ORS to suggest additional resources or to discuss needs specific to your research.

Research Service Center (RSC): The Office of Sponsored Project Administration, a division of the VPR's office, operates six <u>Research Service Centers</u> designed to provide direct service to faculty and staff in all areas of research administration. The RSC Directors serve as the Authorized Organizational Representatives (AOR) for the University. AORs are authorized to submit proposals, approve awards, and sign grant and contract-related documents on behalf of the University. Thus, the Research Service Centers are responsible for the review, endorsement, and submission of proposals on behalf of the University. Proposals for sponsored projects must be routed and submitted through a Research Service Center. When you decide to apply for funding to support your research, <u>the Research Service Centers are your first point of contact for initiating the process.</u>

RSC-Downtown Campus (RSC-DTC)
contact information

Theresa Bailey	Angelika Rocha
RSC-DTC Director	Sr. Research Award Coordinator
theresa.bailey@utsa.edu	angelika.rocha@utsa.edu
210-458-4226	210-458-4113
MNT 1.156D	MNT 1.156C

College of Public Policy: The College of Public Policy is also available as a resource for administrative policy questions related to research, or to discuss a particular research strategy. Please contact the Associate Dean for Research (ADR) with any questions.

Funding Sources

Internal - UTSA has a variety of great funding opportunities. The Office of the Vice President for Research (VPR) offers various internal awards. To learn more about these opportunities, please visit the VPR's website. The VPR's office also offers several workshops and research support services to assist faculty with their internal and external research activities.

External – UTSA subscribes to research tools such as PIVOT and SciVal (please visit the VPR's website), which help researchers and their institutions find new federal, foundation, and nonprofit funding opportunities. PIVOT combines the most comprehensive, editorially maintained database of funding opportunities with an estimated $33 billion with a unique database of 3 million pre-populated scholar profiles, drawing from Community of Scholars and Community of Science profiles. Researchers can access these tools from the VPR's website and setup individual profiles for specific search terms to receive emails when relevant funding opportunities become available. For further information on assessing funding solicitations, please refer to Appendix A. For specific information regarding the difference between a gift, grant, and contract, please see Appendix B.

Proposal Development (Pre-Award)

Please see the VPR's web-site for all [forms, policies, and guidelines](#).

Notify RSC: Once a funding source has been identified, notification should be provided directly to the RSC. This is best accomplished by sending an email with the Request For Proposal (RFP) or other funding information attached.

Conflict of Interest: All UTSA faculty must ensure that they have an up-to-date [Conflict of Interest](#) form completed on file.

Budget Development: While developing the scientific particulars of your submission, a project budget should also be started in conjunction with the RSC. Below is a set of recommendations for developing budget justifications for grant proposals. It is a general guide only; each proposal will require custom tailoring to the funding agency's guidelines. Questions on budgets and budget justifications should be directed to the Research Service Center. Please see the VPR's web-site for a [budget template](#). At minimum, the budget justification should:

- Follow the agency guidelines and instructions exactly
- Explain why items requested on the budget form are needed to accomplish the proposed project
- Provide numbers that match the numbers included on the budget forms
- Include reasonable budget requests that reflect sponsor and UTSA policies
- Select appropriate indirect rate, consult with RSC as needed
- The budget justification should bolster the credibility of the applicant, by providing details about the strengths of the personnel, the proposer's attention to detail, and the reasonable allocation of funds
- Please [Appendix C](#) for specific budget categories

Electronic Proposal Routing Form: UTSA requires that all proposals contain an [electronic proposal routing form](#), which ensures that federal and state guidelines are met and that the intellectual and academic objectives of the University are maintained. This is an internal document that provides key information to the VPR's office. <u>It is not submitted to the funder</u>. It does require budget information, so it is best to complete your budget prior to completing this form.

During this stage, you should be working closely with the RSC to finalize the proposal narrative, secure all relevant supporting materials, and finalize the budget.

Miscellaneous: Please see the VPR's website for more information on international project requiring Export Control.

Proposal Routing & Submission

Cayuse: CAYUSE is the university's internal routing system for internal and external grants and contracts. Cayuse delivers a hosted web solution created specifically for Grants.gov and the complex federal grant proposal process. All proposals for external funding must be reviewed at appropriate administrative levels prior to submission.

PIs should only approve projects in the system. All proposal materials should be emailed to the RSC and they will upload these items into Cayuse for review and approval. The RSC will also work collaboratively with the PI to create the appropriate routing/workflow path for your project. Department Chair and College approval is required on all proposals. All materials should be submitted to the RSC prior to the sponsor deadline based on the College grant submission policy. The RSC will submit all materials to the funder after approval from all administrative levels (i.e., department, center/institutes, college) and final review by the RSC Director.

Post-Award

Once an award has been received, the RSC oversees compliance and budget oversight of the project. If not completed, all project personnel must be certified through the Office of Research Integrity (Conflict of Interest), and the project must receive IRB approval prior to beginning. Projects funded by the National Science Foundation (NSF) or the National Institute of Health (NIH) require Responsible Conduct of Research compliance. The Department Chair and the College ADR must approve any changes to the budget by submitting a Budget Modification form. UTSA also requires yearly effort reporting for all research projects.

Research Forms, Policies, & Guidelines

Please see the VPR's web-site for all relevant UTSA forms, policies, and guidelines. Within the College, several policies also govern both funded and non-funded research activities.

Faculty Effort Policy

Faculty member may not exceed 100% effort during their nine-month contract. Faculty effort during this period is already consumed by research, teaching, and service assignments. Please refer to the Workload Policy for specifics.

Individual faculty on a nine-month contract (i.e., Sept – May) are eligible to earn summer money for research activities. Based on federal rules governing funded research, no faculty member can exceed 100% effort during the three months of summer (i.e., June, July, August).

- Example #1: A faculty member earning a nine-month salary of $60,000 would be eligible to earn an additional $20,000 over the three months of summer. For this faculty member, 100% effort in one month equates to $6,667.
- Example #2: A faculty member earning a nine-month salary of $90,000 would be eligible to earn an additional $30,000 over the three months of summer. For this faculty member, 100% effort in one month equates to $10,000.

If a situation arises in which a faculty member is scheduled to exceed 100% effort, there are several options available depending on the rules outlined by the funder:

- No cost extension: request additional time to complete the project so that tasks/deliverables and their associated compensation can be reallocated to a later time period to ensure the faculty member does not exceed 100% effort.
- Move effort to another source. For example, hire a Graduate Assistant or contract with another faculty member to assist with the project, etc.
- Move salary savings to a cost center: Salary originally designated for the faculty member may be moved to another account to be accessed at a later date under the direction of the department depending on the rules outlined by the funder.

Grant Submission Policy

All grants and contracts submissions need to conform to the CoPP's Grant Submission Policy. Here are the steps:

1. Inform the RSC (and College ADR) of intent to submit an application for funding or to enter a contract as soon as a funding source is identified. RSC will construct a proposal checklist for the Principal Investigator (PI) to ensure all relevant materials are collated for submission.
2. 5 business days prior to proposal deadline: Submission of final copies of all technical materials to the RSC which includes, but is not limited to: routing form, the budget, letters of support, supporting documents, etc.
3. 2 business days prior to proposal deadline: Submission of final copies of all non-technical documents to the RSC, which includes, but is not limited to: the proposal narrative
4. 1 business day prior to proposal deadline: RSC submits proposal and sends confirmation to PI

Suggested Proposal Routing/Workflow:
- Principal Investigator(s)
- RSC pre-award administrator
- Department Chair and/or Center/Institute – *review occurs after final versions of all non-technical content are complete*
- CoPP ADR – *review occurs after final versions of all non-technical content are complete*
- RSC Director

This workflow may be altered depending on the nature of the proposal, but all proposals must be reviewed and approved by a Department Chair and CoPP ADR.

Exceptions: If unable to meet the aforementioned timeline:
- PI must appeal to applicable dept. chair or institute director *(alternate for chair – assistant chair)*
- Dept. chair/director must appeal to Assoc. Dean for Research *(alternate for ADR – RSC Director)*
- RSC must provide approval to ensure submission prior to deadline

Workload Policy

This is an abbreviated version of the CoPP workload policy; please see [Appendix D](#) for the full version. This policy only applies to <u>tenured</u> faculty; non-tenured faculty are assigned to the Research Option (see below) until their tenure and promotion to an Associate Professor. For tenured faculty, there are three workload options:

1. The *Research Option* offers tenured faculty the opportunity to continue focusing on their research. This option carries the following percentages of effort: 50% research; 30% teaching (2 courses per long semester); and 20% service.
2. The *Balanced Option* offers tenured faculty the opportunity to maintain a balance between research and teaching. This option carries the following percentages of effort: 35% research; 40% teaching (3/2 course teaching load); and 25% service.
3. The *Teaching Option* offers tenured faculty the opportunity to emphasize teaching in their work at UTSA. This option carries the following percentages of effort: 20% research; 50% teaching (3/3 course teaching load); and 30% service.

Upon receipt of tenure, faculty will be assigned to the Research option for a three-year period unless the faculty member chooses one of the other options in consultation with the department chair. Adjustments to a different workload status will be shaped by the review of the faculty member's research productivity (see [Appendix D](#) for specifics). Expectations for research productivity range from a minimum of 6 publications in refereed journals or other publications in the 3-year cycle (Research option), through a minimum of 4 publications in refereed journals or the equivalents over a 3-year cycle (Balanced option), to the expectation that the faculty member would demonstrate continued evidence of a research agenda. For the assessment of the faculty member's research record over a three-year period, the department chair will examine both the quantity and quality of the publications. *Finally, it should be noted that the COPP course load policy informs promotion decisions but is not to be interpreted as the College's promotion policy. Each department recommends promotion within the context of its own respective discipline's research, teaching and service expectations.*

Course Buyout Policy

A faculty may request to receive a course buyout to be released from teaching a course during the nine-month contract if a funded project is in place to cover the faculty member's salary and supply resources to teach the class. All course buyouts must be in accordance with the Handbook of Operating Procedures (HOP), which presents guidelines on the minimum amount of teaching each faculty member must complete.

Faculty preparing a sponsored research project must complete a budget template (available from the Research Service Center) as part of the process. A course buyout request must appear on this template as a line item in the Personnel section. All course buyouts will be charged at a rate of 10% of the faculty member's nine-month salary. This rate does not include fringe benefits or indirect costs. Each course buyout request for a semester should appear on a separate line and indicate 4.5 months and 20% of effort over that period. Faculty are encouraged to indicate the preferred semester for teaching reduction. The faculty member's home department chair and the College must approve all course buyouts. All course buyout salary savings generated from sponsored projects will be allocated in the following order:

1. Hiring a teaching replacement
2. 75% will remain with the department to re-allocate for research related activities at the discretion of the department chair
3. 25% will be transferred to the College for research related activities; this transfer should occur at the conclusion of the semester in which the course buyout was initiated

F&A Policy

The University has adopted a policy for distribution of Facilities and Administrative (F&A) funds from externally funded research. Each unit (i.e., College, Center/Institute, Department, and PI) will receive a percentage of research expenditures from the previous fiscal year:

- Colleges: 8%
- Center/Institutes: 7%
- Departments: 7%

- PIs: 5% (This percentage is split among all PIs and CoPIs based on the percent effort outlined in the Electronic Routing Form).

Centers/Institutes must be deemed eligible to receive F&A funds according to University guidelines as outlined in the HOP.
Any unit (i.e., College, Center/Institute, Department, and PI) with less than $500 F&A funds will not receive an allocation.
Please see the [Provost's web-site](#) for further information.

Appendix A – Funding Agency Solicitations

A funding agency solicitation is a document that describes the purpose of a funding opportunity and provides specific directions for submitting an application. There are many names for a solicitation, such as RFA (Request for Applications), RFP (Request for Proposals), FOA (Funding Opportunity Announcement), and PA (Program Announcement). Smaller foundations or private agencies may simply refer to a set of "guidelines." Whatever the name, for those who are new to grant writing, a funding agency solicitation can be intimidating. Every funding agency arranges the document differently and the language used is often unclear. But you must read the solicitation thoroughly in order to prepare a competitive application. To repeat: you must read the solicitation thoroughly in order to prepare a competitive application. At minimum, you should read the entire solicitation three times: before you begin the application, in the middle of the process, and before you submit the application. The simplest piece of grant writing advice is also the most important: follow the directions!

When you are trying to decide whether or not to pursue a funding opportunity, the solicitation will help you understand the following considerations:

1. Eligibility: Are you eligible to apply? Is your institution eligible to apply? Are you eligible to be the Principal Investigator (PI)? Eligibility criteria can change from year to year, so do not rely on the criteria of previous competitions. Eligibility criteria are usually clearly described in a solicitation, but if they are unclear and you have any questions, it is best to contact the funding agency directly.
2. Program fit: What is the purpose of this funding opportunity? Is it a good fit for my project? The purpose of the funding opportunity is usually one of the first items described in a solicitation. The purpose may be more or less specific and well described; it may be necessary to seek guidance from a program officer to determine the agency's current priorities. Grants are highly competitive; if a particular opportunity is not a good fit then you should spend your valuable time elsewhere.
3. Deadline(s): What is the deadline? What is required for an application? Some funding opportunities have several deadlines for required submissions in addition to the full application (e.g., letters of intent or pre-proposals). Make sure that you have time to do all that you need to do to apply. If a deadline has

recently passed, then check to see if there will be recurring deadlines in future years.

4. <u>Application process</u>: Can you apply individually? Do you need to be nominated by someone? Does the university apply on your behalf?

5. <u>Review criteria</u>**:** Will you be able to address all the review criteria thoroughly and competitively? The review criteria are usually described near the end of a solicitation. Reading the review criteria will give you a clearer understanding of the program's purpose.

6. <u>Budget</u>**:** What are the minimum and maximum funding limits? What costs are allowable? How long does the funding last? Budget considerations will largely determine the feasibility of the project and your scope of work, so be sure that you have a clear understanding of what costs are allowable. Your Research Service Center can help you develop an appropriate budget for your project.

7. <u>Proposal structure</u>: Exactly what information should be included in the proposal? How should it be presented? Usually the solicitation will provide a clear outline for your proposal. Follow it. Make sure the requested and required information is easy for reviewers to find.

8. <u>Document format</u>: What are the formatting guidelines? The funding agency's formatting guidelines are not optional. They are used to ensure that proposals are presented in a reader-friendly way for the reviewer, and that no proposer has an unfair advantage. Be sure to follow these guidelines precisely.

9. <u>Supplementary documents</u>: What additional documents are required to complete the application package? Almost all grant proposals require the submission of supplementary documentation in addition to the proposal narrative and budget: biographical sketches, facilities descriptions, research compliance descriptions, letters of support, and data management plans, just to name a few. As you plan your proposal, prepare an outline of each required document and a plan for completing it; you do not want to have to scramble to assemble the application package at the last minute.

The answers to these questions will influence both your application process and your deadline. Most grant proposal applications prepared by university faculty and staff must be officially submitted by a Research Service Center rather than an individual PI. However, there are some opportunities, such as summer fellowships,

that must be submitted by the individual PI. If you are unclear about the application process, consult with your Research Service Center.

Appendix B – Definition of Gift/Grant/Contract

GIFT: A gift is defined as any item of value given to the University by a donor who **expects nothing of significant value in return**, other than recognition and disposition of the gift in accordance with the donor's wishes. In general, the following characteristics describe a gift:

- **No contractual requirements are imposed and there are no "deliverables" to the donor**. However, the gift may be accompanied by an agreement that restricts the use of the funds to a particular purpose.
- **A gift is irrevocable**. While the gift may be intended for use within a certain timeframe, there is no specified period of performance or start and stop dates.
- There is no **formal fiscal accountability to the donor.** There may, however, be annual or periodic updates sent by the Office of Development that may be thought of as requirements of good stewardship, and, as such, may be required by the terms of a gift. They are not characterized as contractual obligations or "deliverables."

GRANT: A grant is an award mechanism to transfer money, goods, property, services or other items of value to universities in order to accomplish a public purpose. In general, the following characteristics describe a grant:

- **No substantial involvement** is anticipated **between sponsor and recipient** during performance of activity
- The award comes with **terms, conditions, and/or other contractual requirements** that need to be met.
- There are **budgetary restrictions** that must be followed.
- **Reports** may be required including financial reports and technical or progress reports.
- Documentation of **expenditures**.
- **Deliverables** of any kind, including the sharing of research results.
- There is a **start and stop date**.
- **Authorized University Official** must transmit and/or sign.

CONTRACT**:** A contract is defined as a binding agreement between parties for the purpose of securing goods or services. In general, the following characteristics describe a contract:

- There is **extensive input from the sponsor** into the tasks to be performed.
- The **award mechanism** used by the sponsor is a **contract.** Principal purpose is to acquire property or services for direct benefit or use by the sponsor.
- The sponsor considers the award a "**procurement**".
- The sponsor requires **formal reports of any kind**, including financial or technical
- **Invoicing or billing** is required.
- The contracting mechanism has terms and conditions such as:
  - Ownership of intellectual property or curriculum
  - Right of first refusal, or right of first negotiation of **intellectual property** developed at UTSA.
  - Ownership or access to **research results.**
  - **Publication review** of faculty, graduate student or post doc research.
  - Private or non-public meetings, seminars, or other forums in which I will transfer research results to the Company.
- **Deliverables** of any kind.
- There is a **start and stop date**.
- **Authorized University Official must sign** the awarding document.

Appendix C – Budget

Budget justifications generally include the following categories:

1. *Personnel Costs*: It is recommended that the budget justification include the following information for each key personnel member: Role, position, and suitability to project; specific responsibilities on the project; and commitment of effort to project listed as academic, summer, or calendar months. The effort of hourly employees should be listed as hours per week, number of weeks, and rate of pay per hour. If multiple years are requested, describe the salary escalation for subsequent years. Only UTSA employees should be listed in the Personnel section. Non-UTSA employees should either be listed as subcontractors or consultants. If no salary is requested, avoid statements claiming that a person will commit a specific amount of time to the project "at no cost to the sponsor," as this is considered cost sharing that must be tracked and reported. See the UTSA policy on cost sharing: https://www.utsa.edu/hop/chapter10/10-7.html.

2. *Key Personnel*: This category includes anyone who is a Principal Investigator, Project Director, Co-Principal Investigator, or Co-Investigator. See funding agency guidelines for specific definitions.
    – Example: Dr. X (Principal Investigator) will oversee all aspects of the project including [list specific roles and responsibilities]. Dr. X is a Professor of Y at UTSA, and has researched Z extensively. [Include relevant accomplishments that demonstrate suitability to the project]. Salary support is requested for 2 summer months in years 1 to 5 of the project. An escalation rate of 3% per year has been calculated for years 2 to 5.

3. *Other Personnel*: This category commonly includes Postdoctoral Associates, Research Associates, Graduate and Undergraduate Research Assistants, and other professionals (e.g., technicians, program managers, etc.)
    – Example #1: We request 12 calendar months of support for Ms. Jane Smith, Program Manager, who will oversee the daily administration of the project, manage the project budget, coordinate student workers, and monitor trainee progress.

- Example #2: Mr. John Anderson, Graduate Research Assistant, will develop, administer, and maintain the online survey and survey database. His current research work is in school psychology and student self-efficacy. His effort is calculated at 20 hours per week at $10 per hour in years 1 and 2 of the project. A salary escalation of 3% is calculated for year 2.

4. *Fringe Benefits*: Describe the current fringe benefits for each personnel member according to current UTSA rates. Fringe benefits are updated yearly; the UTSA Proposal Budget Template calculates fringe benefits for the current fiscal year. Please see the VPR's web-site for specific [forms, policies, and guidelines](). The Payroll Office provides detail on the calculation of fringe benefits: http://www.utsa.edu/payroll/fringe_benefit.html

5. *Equipment*: Equipment is defined as items of durable value at or exceeding $5,000 per unit. See funding agency guidelines for more specific definitions and/or restrictions. Equipment costs are excluded from the calculation of indirect (facilities & administrative) costs. List the requested equipment, including specific names, model numbers, price quote, and price quote source. Explain why the equipment is necessary to the project and how it will be used.

   - Example: We request $6,140 for the purchase of a Meiji IM7000 Inverted Metallurgical Microscope, which is necessary for the evaluation of metallurgical specimens in Phase 2 of the project. Estimated price is based on a quote from the manufacturer and includes a lifetime warranty.

6. *Travel*: Whenever possible, list the destination and purpose of each trip, and a breakdown of costs, including airfare, mileage, accommodation, per diem, and local travel. Include any required travel specified in program solicitation. While it is not always possible to specify all travel costs in advance, it is important to be as specific as possible and explain how travel is necessary for the conduct and/or dissemination of the project. Airfare estimates should be based on economy rates and booked on a US carrier whenever possible. Per Diem estimates should be based on GSA and Department of State rates. Student travelers are normally not reimbursed at full per diem rates. GSA Per Diem rates (domestic destinations): http://www.gsa.gov/portal/content/104877. Department of State Per Diem rates (foreign destinations): https://aoprals.state.gov/content.asp?content_id=184&menu_id=78. Mileage

is reimbursed at 57.5 cents per mile. See Disbursements & Travel Services for more information: http://www.utsa.edu/financialaffairs/dts/.

- – Example: We request support for the PI and Co-I to attend the American Anthropological Association conference in project years 3-5 to present results. The 2018 (project year 3) meeting will be held in San Jose, CA. Airfare to San Jose is estimated at $400 per person and per diem is estimated at $162 per person per day for 4 days. The 2019 and 2020 (project years 4 and 5) conference cities are not yet known. In years 4 and 5, airfare is estimated at $500 per person per trip. Per Diem is estimated at $200 per person per day for 4 days.

7. *Participant Support Costs*: Items in this category may include stipends, subsistence allowances, travel allowances, training materials, and/or registration fees for participants in a training program. See sponsor guidelines for more specific definitions. Incentive payments to research subjects are usually included in the "Other" category, rather than the participant support category. In some cases, participant support costs are excluded from the calculation of indirect costs (F&A).

- – Example: 15 local middle school teachers will participate in a 3-day mentoring workshop at the University during the summer. Teachers will receive a $200 stipend for their participation. Training support costs include $500 for handouts and other materials.

8. *Other Direct Costs*: Be careful when including costs that are normally considered indirect costs in this category, such as office supplies, personal computers, telephone charges, and printing and photocopying. Usually, costs can only be charged directly to a federal grant if they can be specifically identified with the funded project. If these costs are essential to the conduct of the project and will be used solely for the project, they may be budgeted with proper justification. Always refer to the funding agency guidelines when budgeting other direct costs.

9. *Materials and Supplies:*

- – Example #1: Computer: $1,200 is requested for a laptop to be dedicated exclusively for collecting and storing observational data in the field.

- Example #2: Laboratory Supplies: We request $2,000 for glassware and nucleic acids samples for experiments to be conducted in Year 1 of the project.

10. *Publication Costs*: Included in this category are costs associated with the dissemination of the project's findings, such as journal page charges, graphic design fees, and production of monographs and poster presentations.
    - Example: We request the amount of $500 to publish the results of our study, to cover journal page costs and the production of posters for research meetings.

11. *Consultant Services*: Consultants services are services rendered by persons who are members of a particular profession or possess a certain skill, and who are not employees of the proposing organization. The services provided should be justified with details on the individual's expertise, primary organizational affiliation, normal daily compensation rate, number of days of expected service, and travel costs, if any.
    - Example: Dr. Alan Roberts, CEO of Expert Evaluations Inc., will commit 20 hours per year to the project to provide external evaluation services. Dr. Roberts specializes in the evaluation of educational outreach programs. His rate is $200 per hour, for a yearly budget of $4,000.

12. *Computer Services*: Computer-related expenses, including computer-based retrieval of scientific, technical, and educational information, access to specialized computing systems, or purchase of specialized software, should only be included if they are not already provided by your institution, and should be specifically justified as necessary to the project.
    - Example: $1,000 is requested for the purchase of software needed to develop and run the qualitative model to be developed in Phase 1 of the project.

13. *Subawards*: List the subcontracting institution and their specific roles and responsibilities on the project. Most agencies will require a separate budget and budget justification for subawardees.
    - Example: Dr. Amy Stewart of the University of Delaware will oversee out the design and administration of the national survey. Total costs for

this subaward are $40,000 in Year 2, as detailed in the subcontractor's budget and justification.

14. *Other*: Any other direct costs not specified in previous sections should be included here. Examples include mailing services or long distance telephone charges specifically identified with the project and human subject incentive payments.

15. *Indirect Costs* (Facilities & Administrative costs): F&A rates are negotiated with the federal government on a periodic basis. A copy of UTSA's indirect cost agreement, negotiated with the Department of Health and Human Services, can be found at:
http://www.utsa.edu/financialaffairs/grants/docs/FAagreement06032015.pdf
Your Research Service Center can help you determine the appropriate F&A rate calculation.

   – Example: Using DHHS negotiated rates for organized research, the modified total direct cost base of $289,500 was multiplied by the rate of 47% to obtain the indirect cost of $136,065 in Year 1. The same formula was applied in subsequent years.

Appendix D – Workload Policy

As UTSA moves towards being a premier research university, the College of Public Policy (CoPP) has the need for a workload policy that enables it to more efficiently and effectively use existing resources. Assistant professors will be automatically assigned to the *Research Option* (see below) upon arriving at UTSA. Pre-tenured, tenure-track faculty will be assigned to the *Research Option* through their sixth year of service. Newly tenured faculty are automatically assigned to the *Research Option* after tenure.

This workload policy provides <u>tenured</u> faculty with the ability to follow three options:
4. The *Research Option* offers tenured faculty the opportunity to continue focusing on their research. This option carries the following percentages of effort: 50% research; 30% teaching (2 course per long semester teaching load); and 20% service.
5. The *Balanced Option* offers tenured faculty the opportunity to maintain a balance between research and teaching. This option carries the following percentages of effort: 35% research; 40% teaching (3/2 course teaching load); and 25% service.
6. The *Teaching Option* offers tenured faculty the opportunity to emphasize teaching in their work at UTSA. This option carries the following percentages of effort: 20% research; 50% teaching (3/3 course teaching load); and 30% service.

Faculty in the *Research Option* will have a 2 course per semester teaching load (Fall and Spring). All faculty members in the COPP are eligible for this workload no matter how large or small the graduate program is in his or her respective discipline, or no matter what undergraduate teaching obligations exist in that discipline. The COPP will use the Dean's discretionary course releases to supplement WLC's accrued by individual faculty members' enrollments for faculty meeting the conditions of the Research Option.

These options should not only be viewed in the context of research productivity; they also may reflect faculty members' decision to change the emphasis regarding their research and teaching efforts. Tenured faculty members may elect to move from the research to the teaching or balanced options.

Workload Assignment

Assignment to one of the three workload options occurs in the following way:

1. Tenured faculty will be initially assigned to the *Research Option* for a three-year period unless the faculty member chooses one of the other options in consultation with the department chair.
2. Pre-tenured, tenure-track faculty will be assigned to *Research Option* through their sixth year of service. Upon receipt of tenure, they will be assigned to that option for a three-year period subject to the same review process described above.
3. Following expiration of these initial periods, future faculty assignments will be shaped by the review of the faculty member's:
    a. Research contributions in the previous 3 years of employment to include:
        i. Refereed publications
        ii. Journal articles
        iii. Scholarly books and monographs
        iv. Book chapters
        v. Non-refereed publications (counted only with convincing evidence regarding the merit and impact of the publications)
        vi. Books, chapters, and other publications
    b. Grants: External grant work will be evaluated on the basis of the:
        i. Purpose of the grant
        ii. Stature of the granting organization
        iii. Competitive nature of the grant
        iv. Potential impact of the grant

For the assessment of the faculty member's research record over a three-year period, both the quantity and quality of the publications will be examined by the department chair. For instance, publications in high impact journals can be provided with greater weight. In addition, sole-authored publications may provide greater weight than coauthored publications. Scholarly books and monographs may be weighed very heavily, depending upon the reputation of the press. Essentially, if faculty members publish in high impact publication outlets, then the number of publications can be

adjusted on the basis of quality. However, at all times, the burden of providing evidence of exceptional quality rests with the faculty member.

Finally, it should be noted that COPP course load policy informs promotion decisions but is not to be interpreted as the College's promotion policy. Each department recommends promotion within the context of its own respective discipline's research, teaching and service expectations.

The Research Option
Eligibility Criteria

Research. The primary criterion for assignment to the *Research Option* will be the quantity and quality of research efforts as listed above. The expectation is that faculty would produce a minimum of 6 publications in refereed journals or other publications in the 3-year cycle. Each department will determine appropriate equivalencies of publications other than refereed journals. As mentioned, high-impact publications may carry greater weight.

Procedure for Determining Continuation in the Research Option

Department chairs will have the authority to annually review faculty performance and continuation on the Research Option subject to the Dean's approval. In the event the faculty member does not agree with the chair's decision, that decision can be appealed to the Dean. The Dean's decision is to be considered final.

The Balanced Option
Eligibility Criteria

For tenured faculty who are assigned to the *Balanced Option* on the basis of their performance during the previous 3 year period, the expectation is that they would produce a minimum of 4 publications in refereed journals or the equivalents over a 3-year cycle. Each department will determine appropriate equivalencies.

Procedure for Determining Continuation in Balanced Option

Department chairs will have the authority to annually review faculty performance and continuation on the Balanced Option subject to the Dean's approval. In the event the faculty member does not agree with the chair's decision,

that decision can be appealed to the Dean. The Dean's decision is to be considered final.

The Teaching Option

Eligibility Criteria

For tenured faculty members who are assigned to the *Teaching Option* on the basis of their performance during the previous 3 year period, the expectation is that the faculty member would demonstrate continued evidence of a research agenda. Faculty members that do not meet the publication requirement of the balanced option will be placed on the teaching option. Faculty members may elect to move from the balanced to the teaching option.

Procedure for Determining Continuation in Teaching Option

Department chairs will have the authority to annually review faculty performance and continuation on the Teaching Option subject to the Dean's approval.

Summary of Workload Options and Expectations

Workload Options	Research	Teaching	Cycle
Research Option 30% teaching; 50% research; 20% service	At least 6 publications in refereed journals or the equivalent over the previous 3 years	Will carry a 2-2 course load	3 years
Balanced Option 40% teaching; 35% research; 25% service	At least 4 publications in refereed journals or the equivalent over the previous 3 years	Will carry a 3-2 course load	3 years
Teaching Option 50% teaching; 20% research; 30% service	At least 1 publication in a refereed journal or the equivalent over the previous 3 years	Will carry a 3-3 course load	3 years

Provision for Ongoing Annual Review of Distribution of Effort Policies

The policies described here will be annually assessed for each tenured faculty by the department chair. If faculty members on the teaching and balanced options have increased the number of publications (or equivalents), they can petition to the chair to be moved into another option for the next assessment year. Faculty members can also elect to be placed in one option dependent upon whether they want to emphasize teaching and/or research.

As for extenuating circumstances beyond the control of the faculty member, such as illness or extended leave from the University covered under FMLA, the faculty member will not be evaluated during the documented period of leave.

Course Releases
Under the College's new policies, the use of the Dean's discretionary course releases for other than maintaining 2-2 workloads will be restricted. Their use primarily will be for major activities benefiting the department or College. For perspective, it is important to note that department chairs and the College's associate dean receive a one course reduction for the work that they do. It should be apparent to all that the amount of time and responsibility associated with these positions is significant. Therefore, any request for a course release by faculty will be carefully reviewed to ensure that benefits are clearly present and that accountability is clearly defined. Examples of activities which might qualify for course releases include:
– Directing a major project for the department or College
– Involvement in a major project requiring a significant time commitment beyond normal service responsibilities

As before, course releases can be supported by means other than the Dean's discretionary course release mechanism. As an example, faculty members can choose to use grant funds to support a course release as has been done in the past.