

School of Social Work

External Funding Supplemental Award & Development Funds Policy¹

Purpose

It is a general policy of the School of Social Work (SSW) that externally funded projects are undertaken as part of each tenure-track and tenured faculty member's workload (while it is not included, by default, as a primary component of any NTT faculty member's appointment, this policy is inclusive of all such ranks as appropriate). When a faculty member undertakes an externally funded project, the project should generally be charged for a portion of their university base salary commensurate with the work activities that benefit the project. For faculty with significant externally funded activities, opportunities exist to help cover a portion their academic salary on sponsored funding. For faculty who off-load a significant percentage of their academic appointment, it creates an opportunity for the SSW to realize budgetary savings for student support, instructional cost coverage, or other strategic needs. These guidelines facilitate the opportunity for the SSW to incentivize salary savings from sponsored funding and to recognize faculty that generate them.

Objectives

Salary savings are realized by the SSW when faculty appropriately offload a portion of their academic salary from department funds to the external fund sources. The SSW needs to significantly increase these funds to support our strategic initiatives. As such, we are working to incentivize and reward these successes to help further secure additional funds. These guidelines establish the basis for faculty to receive a Research Supplemental Award² (RSA) and Faculty Development Funds (FDF) in recognition of the budgetary savings realized and their success in receiving sponsored funds. These funds may be paid as a supplement to the faculty that generated it or provided to the faculty member as development funds as outlined below.

Eligibility and Use

- This policy compliments and operationalizes within the SSW a RSA and FDF policy and does not supersede any related UTA policies. Any divergences from UTA policies will or have been approved by the Provost and VP for Research.
- In no event will an RSA be charged to a sponsored project as these are unallowable expenditures per federal and state requirements. Faculty allocating salary to sponsored projects may only do so in accordance with the following Office of Research policies:
 - After-the-fact Review of Salary Charged to Sponsored Projects Policy
 - Allowable Cost Policy
 - Cost Transfer Policy
- Faculty must have a permanent appointment and not be on a visiting, terminal or other non-permanent status.

¹ Approved by the dean, 2/25/22; updated 9/26/22

² 'Research' is the term used in the UTA Policy. In recognition of the many types of external funding secured by SSW faculty, this term is used herein, but is intended to be inclusive of any external funding (research, training, etc.).

- Faculty will receive a base amount each year, TBD based on budget projections, in their Faculty Development Fund account.
 - Faculty with start-up or other contractual development funds will not also receive this base amount.
- Faculty must be the principal investigator (PI) or Co-PI of an externally funded sponsored project to be eligible to receive any funds under this policy.
- The PI (hereinafter inclusive of PI and/or Co-PI) must offset at least 10% of their SSW supported base salary to the externally funded sponsored project.
- A PI may not buy-out their instructional workload and receive additional compensation for teaching overload in the same semester (while also benefitting from this policy).
- Faculty receiving an RSA may elect to receive it as a one-time supplement, in keeping within established limits, that is separate from and in addition to their university base salary, or/and as FDFs to further their research.
- Residual Faculty Development Funds cannot be used for the faculty member's summer salary - or another faculty member's summer salary.
- Residual Faculty Development Funds can be used to buy-out of more classes - but only those paid directly from external sources are eligible for 'pay back' under this policy.
- These funds may accumulate and be retained across academic years. However, to avoid the accumulation of large balances that could conflict with UTA and the SSW budgets, individual FDF account balances may not exceed an amount to be set by the Dean (or designee). If such occurs, an approved spending plan must be put into place.

Faculty Salary Charged to Externally Funded Sponsored Projects:

All faculty must appropriately budget their salary in proposals to external sponsors and properly allocate salary charges commensurate with the work activities they perform. This process may result in an offset of a portion of their academic salary. The allocation of salary on sponsored projects is based on the work activities and research tasks being performed to meet the obligations and requirements of the university and sponsor.

Doctoral Student Support Charged to Externally Funded Sponsored Projects:

Faculty must appropriately budget and include doctoral student research assistant support, as well as applicable tuition/fees. One GRA assignment is typically for no less than 10 hours per week. Doctoral students typically have two such assignments per semester. The SSW Office of Research & Faculty Affairs (ORFA) can confirm current salary rates and tuition/fee amounts. Waivers will only be granted with the provision of clearly published, public and consistent student support limits by the funding source, or other policies acceptable to UTA and the SSW (i.e., faculty may not negotiate their own rates). Faculty not providing financial support or securing the appropriate waiver will not be assigned any SSW supported GRAs for the duration of the externally funded project.

Indirect Costs (F&A) Charged to Externally Funded Sponsored Projects:

All faculty must appropriately include full UTA indirect costs for all externally funded projects. Waivers will only be granted with the provision of clearly published, public and consistent indirect cost limits by the funding source, or other rates negotiated and acceptable to UTA and the SSW (i.e., faculty may not negotiate their own rates).

Responsibilities

By May 31st, the PI is responsible to submit information for approval to the ORFA to receive an RSA. If all criteria are met, the RSA will be paid out by the first pay cycle of the next fiscal year (within established limits). Any proportion (if the faculty member decides to not receive the maximum allowable pay-out) or excess will be added to the faculty member's FDF account at the start of the subsequent fiscal year.

Before approving the request, the ORFA is responsible for:

- ensuring that the allocation of the PI's base salary to the externally funded sponsored program generating the salary savings is reasonable and appropriate and does not exceed the proportion of total work activities to each sponsored project;
- all amounts will be reviewed/approved by the SSW's Office of Analyses & Resource Planning;
- verifying that the activities that generated the salary savings are aligned with faculty job duties and expectations, including tenure and promotion (as applicable); and,
- ensuring that all other requirements set forth in this policy and all UTA policies are satisfied.

Criteria Guidance

The following criteria are for guidance and may be adjusted by the Dean.

For RSAs with no workload adjustment (i.e., no reduction in teaching or service workload assignments):

- Through appropriate charging to sponsored project, for the purposes of this policy, the faculty member can offset up to 60% TOTAL of their salary during the academic year.
- With no workload adjustment, a maximum of 50% of the salary offset can be issued as a RSA; provided that the RSA does not exceed 10% of their salary.
- Faculty may choose to receive any portion of an RSA as discretionary FDFs in-lieu of a salary supplement.
 - If the RSA based on the salary offset would exceed the 10% maximum, the RSA amount in excess of the 10% maximum can be provided to the PI as FDFs.
 - FDFs may accrue in the faculty member's 'account' within the amounts and guidelines as noted previously.

Example Research Award Calculations:

10% base salary offset during the academic year without workload adjustment (equivalent to one course buy-out, but the faculty member still teaches the course):

Item	Base
Base salary	\$80,000
Offset salary (10%)	\$8,000
Returned to faculty (50%)	\$4,000

In the example above, the faculty member could take the full amount or any portion thereof as an RSA, or split it and allocate some to their FDF account.

For RSAs with workload adjustment (i.e., reduction in teaching or service workload assignments):

- Through appropriate charging to sponsored project, for the purposes of this policy, the faculty member can offset up to 60% TOTAL of their salary during the academic year.
- With workload adjustment, a maximum of 30% of the salary offset can be issued as a RSA; provided that the RSA does not exceed 10% of their salary.
 - a. If the amount remaining is insufficient to hire a replacement instructor(s), the academic unit can retain additional salary offset.
- Faculty may choose to receive any portion of an RSA as discretionary FDFs in-lieu of a salary supplement.
 - a. If the RSA based on the salary offset would exceed the 10% maximum, the RSA amount in excess of the 10% maximum can be provided to the PI as FDFs.
 - b. FDFs may accrue in the faculty member's 'account' within the amounts and guidelines as noted previously.

Example Research Award Calculations:

10% base salary offset during the academic year without workload adjustment (equivalent to one course buy-out, but the faculty member does NOT teach the course):

Item	Base
Base salary	\$80,000
Offset salary (10%)	\$8,000
Returned to faculty (30%)	\$2,400

In the example above, the faculty member could take the full amount or any portion thereof as an RSA, or split it and allocate some to their FDF account.

These support funds may be used at the discretion of the PI (within applicable UTA and SSW guidelines/policies). In the event a PI leaves the university, any remaining funds in the account are forfeited and returned to the SSW.

RSAs are not considered creditable compensation for retirement purposes and are subject to all applicable federal and state taxes and withholdings. RSAs do not affect a faculty member's eligibility for merit or other salary adjustments. There will be no entitlement to the continuation of an RSA or FDFs from semester to semester. These funds may be swept with notice for due cause (including, but not limited to, budgetary necessity).

Indirect Cost (F&A) Policy

Indirect Cost Recovery are funds recovered by the School of Social Work for the reimbursement of services rendered in support of externally funded grants and contracts.

The School of Social Work is committed to the equitable stewardship of funding recovered from IDC and, budget permitting, will manage and govern allocations as follows:

- School of Social Work
 - The SSW receives approximately 1/3 of the IDC generated by externally funded projects. This is set by UTA and is subject to change.
 - The SSW will distribute these funds as follows:
 - Office of Research & Faculty Affairs
 - 50% of net IDC
 - Principal Investigator
 - 50% of net IDC
 - This will be distributed among the PI/Co-PIs in accordance with their percentage work allocation on the externally funded project, unless otherwise agreed to by the PI/Co-PIs.
 - Office of Academic & Student Affairs
 - An amount equal to that provided to the Office of Research & Faculty Affairs (but from other appropriate/allowable sources)
- Once reconciled and paid by UTA, IDC funds received by the SSW will be transferred to applicable PI/Co-PI's faculty development cost center(s) at the beginning of the new academic year.
- Faculty Development Fund accounts will be managed as described above (limits, usage, etc.).
- While frequent adjustments are not expected or desired, these amounts may be modified as needed due to SSW budgetary needs/constraints or other UTA directives/policies.