Alvarez College of Business Guidelines for Research and Professional Development Expenditures
University of Texas at San Antonio (UTSA)
2023-2024 Academic year

The college is supportive of faculty members' research-related and professional development activities. The ACOB has provided full-time faculty members with annual budgets to help cover costs ranging from conference-related expenditures (e.g., membership registrations, airfare and hotels) to journal submission fees, to purchases of databases, to name a few. It is imperative that all faculty use this scarce resource in a way that benefits both the faculty member and the college. Please refer to the Appendix A below for a summary of budget amounts.

General Research and Professional Development Expenditure Guidelines

Research-related and professional development expenditures must have a measurable tangible outcome. In that spirit, below is a set of guidelines which will help faculty determine whether the budget is being utilized in a way that will benefit the faculty, the department, and the college. Within the guidelines described below, and in alignment with UTSA's guidelines (link here), the faculty member's research allocation should be directed toward the following activities:

- Travel to premier/flagship conferences to present research and/or to acquire innovative pedagogical skills.

- Submission and publication fees for elite and leading peer-reviewed academic journals.

- Membership fees for reputable national and international academic organizations.

- Purchase of publications or subscriptions to academic journals for which the UTSA library does not have a subscription. Please contact the library for current inventories, journal subscription listings and inter library loans. Publications without a clear connection to research are not allowed.

- Purchase or subscription to databases to which neither the university nor the college has access. To determine databases subscriptions, please visit this website: https://business.utsa.edu/college-of-business-research-databases/.
    - If a request to purchase a database is made, the Senior Associate Dean for Faculty Success and Research must be notified before any approval and/or paperwork is processed – coordination with the library and legal department will be necessary.
    - Should the cost of the database exceed the faculty member's (or team of faculty members') annual research allocation, a proposal should be made to access funds through the Faculty Research Excellence Fund.

- Purchase computers and/or software to support research or innovative teaching pedagogies. An evaluation will be made in light of equipment the faculty member already has in his/her possession. The director of academic computing will provide relevant information to make an informed decision, following college equipment and inventory policies. Utilizing resources simply to upgrade to a newer system (or software) without clear benefits is not allowed. Items purchased with college resources become UTSA property.

- Faculty may not verbally commit to pay a third party for services without having a fully-executed service agreement in place, when needed. The college will not honor payments or reimbursements for any services rendered prior to an approved UTSA contract. Examples of these commitments include editing fees, data collection services, and the like.

- Reimbursements requests made after 120 days from the event date (e.g., travel or purchase) will <u>not</u> be processed, unless due to unforeseen and extreme circumstances. If a faculty member makes a reimbursement requests after 120 days of the event, approval from the ACOB's Dean, the UTSA's VPAA, and the assistant controller will be required, and should it be approved, the reimbursement will be taxable and reported on the faculty's W2 form.

- Computer or smart phone peripherals (e.g., air buds) or furniture (e.g., chairs, desks) are not considered research expenses. Likewise, office supplies are not considered research expenses. These expenses are to be funded using department resources, F&A distributions, or from the department's M&O operating budget or other discretionary funds.

- Faculty cannot utilize research funds to pay expenses exclusively related to PhD students that do not benefit the faculty directly.[1] PhD students need to apply to the PhD Excellence fund and the graduate school professional development fund for support.

- Rollover of allocated research funds under this policy is not allowed. If a faculty member receives a college research award (e.g., excellence in research), which is distinct from these yearly allocated funds, the award-based research funds can be carried over for one additional year.

- Requests that significantly exceed the budget governed by this policy (e.g., upgrades of equipment in a research lab, specialized software/hardware necessary for high performance, hiring or a large number of subjects), and/or that cannot be funded from other sources (e.g., startup funds) should be directed for consideration under the Faculty Research Excellence fund policy.

- Any questions regarding research-related and/or pedagogical expenditures, including the possible purchase of a database or specialized equipment, should be directed to the Senior Associate Dean for Faculty Success and Research.

General Administrative Guidelines

To improve the efficiency of processing research expenditures, it is important that faculty, department chairs, and administrative leads understand and abide by the following administrative guidelines:

- Department chairs are responsible for reviewing and approving any research expenditures *before* any purchases/payments are made. Chairs must ascertain that the requested expenditure generates a tangible benefit to the faculty, department and college, and that these conform with UTSA's policies. Similarly, department chairs need to ensure that their administrative leads and faculty understand that they need to obtain explicit approval from their chair before any paperwork is processed and sent to the business service center (BSC).

- Administrative leads must use departmental/university issued credit cards to the extent possible. The processing of approved expenses should be in accordance to college and university's guidelines.

- Expenditure requests made without an approved form will not be processed by the BSC. For travel related expenditures, administrative leads need to use the travel authorization forms. For all other

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[1] Some examples of expenditures that support the faculty directly include journal submission fees for co-authored papers, acquisition of datasets, and payments for experimental subjects.

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expenditures, the appropriate form needs to be completed and signed by the chair prior to making the purchase/payment and advancing to the BSC.

- See diagram in Appendix B for workflow.

Conference Guidelines

Presenting research at premier conferences is of paramount importance for the development of faculty's research identity and reputation. The highest priority and expectation is that research faculty present their research at the very best academic conference in the discipline.[2] In addition to the exposure associated with presenting a paper as well as the feedback one receives on a manuscript, a benefit of attending premier/flagship conferences is to network with other faculty and to attend sessions that promote/ignite/refresh the faculty member's research program and reputation.

Similarly, to be responsive to labor market demands, and to prepare college students for successful careers, some faculty members in the college may choose to attend pedagogical conferences to acquire innovative skillsets to improve their teaching methods. Alternatively, some faculty may attend a pedagogical conference as presenters of their own innovative pedagogies or research that improves pedagogical effectiveness. For example, faculty may travel to conferences to obtain expertise in relevant new technology, programming languages, or to present innovative and effective pedagogical methods they have developed.

The following are conference guidelines across faculty type:

Tenure-track (TT) - TT faculty should work with the department chair and/or his/her mentors to develop an individualized research plan that enhances the likelihood of producing the desired research outcomes and that increases the likelihood that the faculty's research can be accepted for presentation at a premier/flagship conference. The college will cover costs associated with the attendance of the premier/flagship conference in the area, whether the faculty presents a paper or not. Faculty in this situation should seek discussant, moderator, session chair, and/or doctoral consortium mentor opportunities.

Tenured – Tenured faculty have a more established research record and pipeline. Tenured faculty with a research workload should strive to continue to present their research in premier/flagship conferences. Tenured faculty who are on more balanced or teaching-oriented workload tracks should also work with the department chair to develop a research and/or pedagogical plan that produces the desired outcomes for the appropriate workload track. The college can cover costs associated with the attendance of the premier/flagship conference in the area, whether the faculty presents a paper or not. Faculty in this position should seek discussant, moderator, session chair, and/or doctoral consortium mentor opportunities.

Fixed-Term Track (FTT) – FTT faculty members' primary focus is to advance the teaching mission of the college. Hence, they should work with the department chair to develop a plan that identifies appropriate venues/conferences to present their research and/or to acquire pedagogical and instructional innovations, according with workload requirement associated with scholarly academic and practice faculty titles. The college will cover costs associated with the attendance to conferences that enhances faculty endeavors and increases the college's reputation.

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[2] Some examples of premier/flagship research conferences include, but are not limited to, the American Accounting Association (Accounting), American Economic Association/American Finance Association in (Economics/Finance), Academy of Management (Management), American Marketing Association (Marketing), International Conference on Information Systems (Information Systems and Cyber Security), INFORMS (Management Science) and Joint Statistical Meetings (Statistics).

Travel-Related Expenditures Guidance

Domestic / International travel

It is expected that faculty choose the most reasonable and affordable mode to travel. According to UTSA policy, if a traveler wants to drive their personal vehicle instead of using commercial airfare, an approval from Disbursements and Travel Services (DTS) is required. The email to DTS should include the airfare quote and the reason for choosing to drive instead of fly. The employee can only be reimbursed up to the amount of the airfare quote if the airfare is less than the mileage reimbursement. DTS approval will need to be included as part of the supporting documentation for reimbursement.

Hotels associated with the conference are preferred, as these are typically offered at discounted prices. Any hotel costs other than the conference location (city) in which the conference is being held will not be covered. International travel is especially hard on the budget, so every effort should be made to conduct trips that result in the highest quality research or pedagogical output to justify the significant investment. All international travel must be pre-approved by the department chair; this includes international travel by endowed chairs and named professors. Department chairs must carefully evaluate the quality of all international conferences before approving the trip. It is expected that faculty exercise sound professional judgement and avoid conflict of interests and they identify domestic and international conferences. Questions about international travel should be directed to the Senior Associate Dean for Faculty Success and Research. [3]

Additional important items to consider are:

- Purchasing for airfare must take place using the **Concur** platform. This applies to both domestic and international travel.

- No arrangements or pre-payments of any sort should be made by either the faculty member or administrative lead until approval has been given by the department chair (and if needed, by the Senior Associate Dean for Faculty Success and Research), including the payment of early-bird registration fees.

- Unless a valid major reason exists (e.g., illness), faculty will not be reimbursed for any expenses (e.g., hotel, conference registration fees) incurred if they do not attend the conference. Any expenses prepaid on behalf of the faculty member by ACOB will need to be reimbursed back to the college.

- Faculty should not only consider situations that are set forth in this policy, but also gray areas that might create the appearance of a conflict of interest. Conflicts of interest include travel with significant personal/family time, travel to events or engagements for which the faculty member receives compensation, or any activity deemed to be unrelated to university business. Such travel will not be approved.

> Please refer to UTSA Handbook of Operating Procedures section 1.33 for UTSA Conflict of Interest Policy at: http://www.utsa.edu/hop/chapter1/1-33.html

Lodging and Per Diem Costs

- The college will cover up to 3 nights of lodging and 4 days of meal per diem for domestic travel. The 4 days of per diem includes the travel days.

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[3] If the paper is co-authored with a PhD student and he/she is expected to present the paper (domestically or internationally), the faculty member must coordinate with the department chair and the appropriate PhD program advisor. The student will have to submit a request for funding following the policies outlined in the PhD Excellence Fund.

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- The college will cover up to 4 nights of lodging and 5 days of meal per diem for international travel. The 5 days of meal per diem includes the travel days.

- Any exception to this policy requires approval from the Senior Associate Dean for Faculty Success and Research prior to making travel arrangements and/or the creation of the travel authorization form.

Appendix A – Research and Professional Development Expenditure Amounts

Faculty Category	Title	FY 2024 Allocation	Comments
Tenure-Track (TT)	Assistant	5,000.00	
	Associate (untenured)	4,000.00	
	Associate (untenured Newly Hired)	per the offer letter	
Tenured (T)	Associate and Full (2-2 Workload)	4,000.00	
	Associate and Full (3-3/4-4 Workload)	2,000.00	
	Associate and Full (Newly Promoted)	5,000.00	Two years after promotion
	Associate and Full (Newly Hired)	per the offer letter	
Fixed-Term Track (FTT)	Scholarly Academic	2,000.00	
	Practice Faculty	1,500.00	

Notes:

- A discretionary pool will be set aside in the Dean's office. Faculty in need for additional funds (not to exceed $1,000) will submit a request to the chair (who will conduct the first vetting), and if meritorious, the chair will submit to the Senior Associate Dean for Faculty Success and Research for consideration. Significantly larger request will have to be directed for consideration under the Faculty Research Excellence fund policy

- As they consider expenditures, faculty members will be required to ensure they follow college and university's research policies and procedures. Reference guidelines above and workflow in Appendix B.

- If traveling, faculty must use concur to purchase tickets and make purchases through policies outlined by the college/university processes (i.e., we seek to minimize reimbursements).

Appendix B – Research and Professional Development Expenditure Approval Workflow

Faculty Initiates the Process for Research Expenditures

Travel Related

Non-Travel Related

Database related – Contact Senior Associate Dean for Faculty Success and Research

Work with Admin lead to complete a TA form and get it approved by the chair:

a) Book flight through concur.
b) Use the university issued card to the extent possible.
c) If a reimbursement is necessary, use the expense reimbursement form.

Work with Admin lead to complete the appropriate form and get it approved by the chair:

a) Distinguish between purchases requiring a PO vs. those not requiring a PO –use appropriate form. Services, such as editing and/or data collection, requires a service agreement prior services being performed.
b) Use the university issued card to the extent possible.
c) If a reimbursement is necessary, use the expense reimbursement form.