

# Seeking External Research Funding

## Introduction

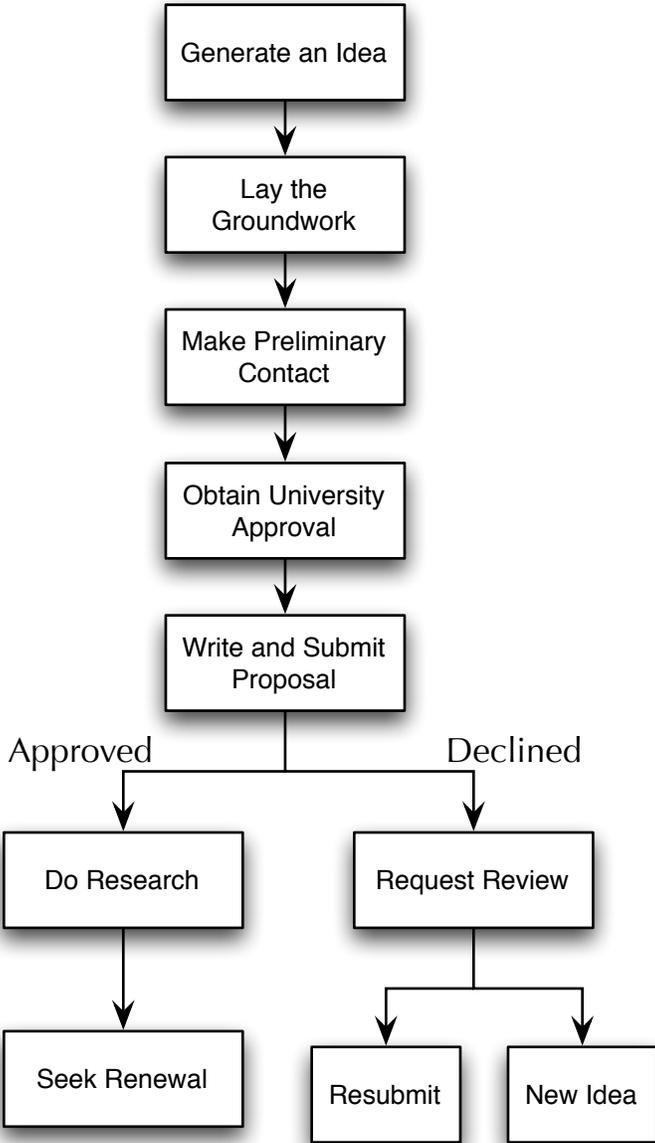
Christopher Columbus had a great idea for a research project. He recognized that it takes financial backing to do most research, and that financial backing is often difficult to obtain. However, he was persistent, and his persistence paid off.

As an investigator, you face problems similar to Columbus's in seeking research funding. Unfortunately, you have one additional hurdle that he did not have to worry about—a written research proposal which must compete with many other proposals. This booklet is designed to help you overcome this hurdle. It incorporates suggestions from many BYU faculty members who have succeeded in obtaining funding. Success is not guaranteed if you follow this guide. However, it is guaranteed that you will not find funding without submitting a well-written proposal.

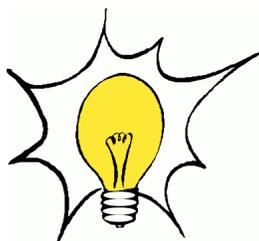
Writing a winning proposal will take time and effort. But you will find that it is not as hard as you might think.



Your formula for success will probably contain the following steps:



## Step 1: Generating Ideas



A research proposal is judged primarily on the strength of its central idea. Is the idea novel? Is it significant? Is it plausible?

Research ideas come in many ways. If you are a new researcher at BYU, you probably have some ideas left over from graduate school or from your previous work. Otherwise, a professional development leave may provide some good leads. In fact, generating research ideas is one of the most important reasons for taking a professional development leave.

You can discover new ideas by reading the professional literature in your field. As you read, concentrate on identifying possible research topics. Similarly, professional meetings are a great source of ideas. As you listen to and review the research of others, you will find that ideas come to you almost automatically. Discussions with colleagues and with students can further stimulate fresh thinking along new lines.

An important ingredient in developing new research ideas is to get into the laboratory or take to the field and do research. Indeed, the unexpected result in the laboratory may generate the most important new ideas of all. This principle is true whether you are a chemist working in a chemistry laboratory or a political scientist visiting Colombia. It is important that you get into your laboratory, get your hands dirty, and get directly involved. Sitting at a desk and pondering the complexities of your specialty doesn't fill the need. Ideas come more readily the more directly active you are.

An important habit to adopt is to write down your ideas. Successful researchers keep a file of ideas to which they can refer periodically. They work with and prepare multiple proposals based on several ideas at one time, knowing that only one of them is likely to strike pay-dirt in the form of a funded grant or contract.

## Step 2: Laying the Groundwork

Your proposal will usually be sent out for evaluation by peer reviewers, scientists at other universities, national laboratories, or industry who are respected experts in the field. For this reason, it is helpful if the scientific community is familiar with your and your work before your proposal is submitted. Personal contacts in the scientific community

are made over time in a number of ways: attending and presenting papers at professional meetings, consulting, performing summer work, or taking a professional development leave at another laboratory. These kinds of contacts are very important so that reviewers are not hearing your name for the first time when they see your proposal. Reviewers endorse proposals from people they know and trust.

If you want to develop a research program in an area that is new to you, it is best to spend the time necessary to establish yourself before submitting a proposal. Proposals submitted "cold" in an new area where your name and work are unknown rarely succeed.

### Step 3: Identifying Sources of Research Funds



Programs have been established within the university to encourage faculty research through funding from departments, colleges, and the university administration. However, the amount of money available from these programs is extremely limited. University research funds are considered "seed money" to help faculty members begin research programs while they actively seek external funding from private foundations, industries, and government agencies.

The Office of Research and Creative Activities (ORCA) maintains resources which can be very helpful in identifying possible external sources of funding . They contain a number of Internet sites from many funding agencies, listing their areas of interest, budgets, grants awarded, and application instructions. Gary Reynolds and the ORCA staff can introduce you to these resources and help identify funding agencies appropriate to your field.

Specifically, BYU subscribes to a funding opportunities database called "IRIS" (Illinois Researcher Information Service). This service is accessible via any university computer. The Internet address is: <http://www.library.uiuc.edu/iris/>. There are between 8,000 and 10,000 opportunities from government, industry, and foundation sources. Additionally, we have provided electronic access to "The Foundation Directory." This database provides inside information to over 20,000 foundations across the country. Please see the ORCA staff for the current userid and password.

Grants.gov is a free, federal government sponsored website that is the electronic portal for submission of proposals to any federal agency. In addition, Grants.gov has a function named 'Find' that is a repository of funding opportunities from the federal government. You can search for federal sources here or go directly to the agency website for more of a description of the funding opportunities. For example the National Science Foundation website for funding opportunities is: <http://nsf.gov/funding/> . The National Institutes of Health funding website is: <http://grants1.nih.gov/grants/guide/index.html> .

Attendance at professional meetings is often helpful in identifying funding sources. The more specialized conferences are usually more helpful than large general meetings. Indeed, program directors from funding agencies often attend these specialized meetings. Here is an opportunity for you to meet these directors and to discuss your ideas with them. Furthermore, a consensus may result from the meetings as to important areas of future research funding. From the contents of the meeting, you can determine the areas which are currently of most interest to your peers, and which are therefore most likely to be funded.

When you have chosen a sponsor, be as specific as you can in addressing your inquiries and proposals to the appropriate program within it. Many agencies, like the National Science Foundation, National Institutes of Health, and the Department of Energy, are so large that proposals get little attention unless they are targeted to a specific program. The Office of Research and Creative Activities can provide the names of the directors of programs appropriate for you, as well as Internet addresses for all government agencies.

Often funding agencies do not object if a proposal is submitted simultaneously elsewhere, provided that you indicate that this is so. It is wise to submit your proposal to as many different agencies as you can.

## Step 4: Making Preliminary Contact

Before going to the work of preparing a full-length proposal, it is often wise to submit a one page proposal to the funding agency and to discuss the research personally with the program director. The proposal briefly outlines the objectives, rationale, and expected benefits of the proposed research without going into much detail about budget, personnel, or method. It gives the program director an opportunity to comment on the appropriateness of your proposal to his program and on its relative likelihood of being funded. Furthermore, the program director may provide feedback concerning what aspects of the research to emphasize or other ways to strengthen your full-length proposal.

Some funding agencies require the submission of a proposal prior to submission of a full-length proposal. Some do not want proposals. Which is the case, it is always best to

obtain some feedback from the funding agency before writing your full proposal. Contact the program director in advance to learn how he or she wants you to proceed in this regard.

Where feasible, it is desirable to visit funding agencies in person or at least to talk to program directors by telephone. When you travel, take the time to visit the agencies which are funding research in your field. You will find that administrators are often happy to speak to you briefly if you make an appointment. You probably will not get definite commitments, but you will come away with an understanding of the type of projects the agencies are presently interested in funding. Note that agency interests change over time, and that for political reasons agencies sometimes can't put in print the real "inside story" about what are their current priorities. Meeting the program director provides an additional advantage: he is more likely to fund a proposal from someone he knows and trusts.

## Step 5: Obtaining University Approval



The University is anxious to support the research programs of its faculty. Proposals dealing with basic research of a non-controversial nature are routinely approved. "Classified" research is not allowed. Proprietary research for industry where publication of results in the open literature is rarely permitted is discouraged. Research requiring the experimental use of animals of human subjects requires clearance by Institutional Review Committees. There is no limit to the volume of research that can be conducted by faculty members as long as they are also able to carry out their other university responsibilities. There are some broad limits on the number of university employees (not students) whose salaries are paid from federal grants and contracts during the academic year. However, this restriction need not be an impediment to seeking federal support.

You should seek informal approval of your prospective research from your department chair before devoting the time to write a full-length proposal. If the research is of a controversial nature, your chair may want to take up the matter with the dean and the administration. Once your proposal is written, formal university approval is obtained by submission of the proposal for signature to the department chair, dean, and the Office of Research and Creative Activities. The proposal must be accompanied by the signed "Summary Sheet" when it is submitted to the department chair, dean, and administration for signatures. This kind of approval is required for all proposals, both government and private.

One issue addressed on the summary sheet and which must be resolved for proposal submission is the payment of indirect costs by the sponsor. Many sponsors will pay the full level of indirect costs (i.e. costs to the university of performing the research such as administrative costs, building use, utilities, etc. that are not identifiable with any one particular project). However, some sponsors will pay only part or none of the indirect costs. There are a few criteria that we use to assess the applicability of an indirect costs waiver/exemption request: one, you must show clearly that the sponsor, as part of its normal giving business practice, will not, per policy, pay these costs; two, if the project is mainly for the training of students a waiver/exemption may be considered.

You must show on the Summary Sheet the amount in dollars of indirect costs. You must also show on the Summary Sheet the amount in dollars of indirect costs which the sponsor will not pay. Examples of such programs are awards from the Utah State Centers of Excellence, the US Department of Agriculture, the US Department of Education, or special student training grants that some federal agencies sponsor. It is important to note that formal waivers/exemptions must be obtained in advance of proposal submission for this particular category. Consequently, the Office of Research and Creative Activities must receive the request for exemption far in advance of actual proposal submission to allow sufficient time for review. If you plan to submit a proposal and request a waiver/exemption from indirect costs, it is essential that the completed Summary Sheet be submitted along with an abstract of the proposal at least two weeks in advance of the proposal due date.

## Step 6: Preparing the Research Proposal

The format of your proposal "will vary depending on the funding agency. For example, the National Institutes of Health has a special grant application packet including specific forms which must be used. The National Science Foundation also requires special forms. As noted earlier, the website [Grants.gov](http://Grants.gov) is the federal governments' effort to standardize electronic proposal submission. However, each funding opportunity in [Grants.gov](http://Grants.gov) has attached to it the electronic forms needed. The National Science Foundation system 'FastLane' also has forms and formats specific to each funding opportunity. Talk to the ORCA staff for details.

Each funding agency publishes its own guidelines for proposal preparation. These guidelines should be followed rigorously. For example, if the guidelines suggest that you describe "the anticipated significance of the research, the related background in the field, the objectives..." you should consider including separate sections in the proposal entitled "Significance of the Research," "Related Background," "Objectives," etc. This may appear very bureaucratic to you, but it can be a great help to an overworked program director who has dozens of proposals to evaluate according to specific criteria.

Regardless of the agency, there are certain sections you will probably want to include in your proposal:

- |                  |                                  |
|------------------|----------------------------------|
| 1. Title page    | 8. References                    |
| 2. Abstract      | 9. Facilities                    |
| 3. Introduction  | 10. Personnel                    |
| 4. Background    | 11. Budget                       |
| 5. Objectives    | 12. Simultaneous Submission Note |
| 6. Significance  | 13. Appendix                     |
| 7. Research Plan |                                  |

The following are some tips on each of these sections of the proposal.

### **1. Title Page**

The title is an important challenge. Keep it simple, short, and as specific as possible. Be sure that it emphasizes the aspect of the work most attractive to the funding agency. A program director may find it hard to justify a good proposal to his superiors if the title doesn't seem to fit the program.

The title page should usually include the following:

- Title
- Granting agency and specific program to which the proposal is to be submitted
- Name(s) and phone number(s) of the principal investigator(s)
- Name and address of the university
- Date the proposal is submitted
- Signature block for the Associate Academic Vice President for Research

In addition to a title page, many granting agencies require one or more special submittal pages, often on standard forms. Such pages include the approval signatures of the principal investigator and the University Administrator responsible for research: Alan R. Harker, Associate Academic Vice President. It may also show the period of performance, amount requested, and other information. If the agency does not require a separate submittal page, you may want to add these items to your Title Page. Gary Reynolds can provide you with detailed information concerning the format required by your agency.

### **2. Abstract**

In preparing the text of your proposal, keep in mind the audience you are addressing. The proposal will likely be reviewed by two sets of people: (1) reviewers within the funding agency who are probably not experts in your field but who have some related expertise, and (2) peer reviewers outside the agency who are experts in your field.

Reviewers will scan many parts of your proposal, but you can be certain that all reviewers will carefully read the abstract. Be sure that it clearly summarizes the

research problem, the procedure you propose to follow, and the anticipated benefits of the research. Keep the language simple and make each word count. A good abstract should not be more than one typewritten page. Although the abstract appears at the beginning of the proposal, it is best to prepare it after the body of the proposal is completed.

If the proposal is large, it is sometimes useful to include an Executive Summary rather than an abstract. The Executive Summary is more detailed in nature, and summarizes all of the key elements in the proposal.

### **3. Introduction**

Keep the introduction brief.

### **4. Background**

Summarize earlier or related work of other investigators. Be thorough; the reference you leave out may be the work of a reviewer. Be sure you have conducted a thorough literature search and that you are citing recent work. A common criticism by reviewers is that the proposal does not mention the most recent pertinent work in the literature.

### **5. Objectives**

Every proposal should include one overall objective which is stated in a single sentence. This objective may be broken down into any number of supporting objectives.

### **6. Significance**

Summarize what benefits the research may have to (1) the scientific community and (2) the nation and mankind as a whole. Program directors often need these arguments to justify funding your work. Balance is important here. Accurately assess the potential significance-don't overstate it.

### **7. Research Plan**

The research plan is the heart of the proposal and will be given close attention by expert reviewers. It should do the following:

- Indicate the specific steps you will follow in doing the research. You must convince the reviewer that you have worked the procedure through carefully and that you have the expertise and facilities necessary to carry it out. Nothing helps more than a description of preliminary or related work you have already done on the project. If you have special or unique qualification and/or facilities for doing the work, be sure that this is made clear.
- Many contracts and some grants require a planning time table indicating when different portions of the project will be completed. Even if one is not required, you should consider including a time table to indicate your planning. Be sure the performance projections are realistic and that you don't make inflated promises which are a favorite target of reviewers.

As you write, keep in mind that your goal is to convince your peers that you know what you are doing and that the research can meet the objectives you have established. Refer back to the stated objectives frequently as you describe the method you will adopt. Keep the language clear, simple, and to the point. Reviewers are not impressed by complex, verbose theses which waste their time. Avoid unnecessary jargon where possible out of respect to non-expert reviewers. However, don't hesitate to write in sufficient detail to explain the project adequately and to demonstrate your expertise. Never assume that the reviewer will give you the benefit of the doubt. When clarity is lacking, the conclusion will generally be that you are naive or poorly prepared.

## **8. References**

Your list of references must be complete, correct, and up-to-date. The colleague whose name you misspell or who is omitted completely may be a reviewer for your proposal. Be aware that reviewers often scan the references as an indication of you "currentness" in the field. If the most recent reference is five years old, you may be in trouble.

Arrange the proposal so that you include early in your references the names of several individuals you would prefer to have as reviewers. Program directors often choose reviewers by this means.

## **9. Facilities**

We have some outstanding facilities at BYU. Emphasize any unique features of your facilities which will help with the project. Include a description of:

- The laboratory or work area (e.g. size, special features, utilities).
- University support facilities useful in the project (e.g. computer, library, glassblower).
- General purpose equipment to be used in the project (e.g. spectrometers, testing equipment, centrifuges, electron microscopes).
- Specialized equipment available for your use.

If additional equipment is needed to perform the research, don't try to hide the fact. Request funds to purchase the equipment, and be aware that very often departments and colleges provide some matching funds for these purposes.

## **10. Personnel**

The material in this section is designed to convince a reviewer that you are competent to perform the research. Do not be unduly modest. Emphasize any special qualifications unique to you and those working with you. The following information should be summarized for each principal investigator.

- Name
- Date and place of birth
- Education—include any postdoctoral training
- Experience—list chronologically, up to the present, your professional appointments. You may include pertinent consulting assignments.

- Honors and awards—include both research and teaching awards
- Presentations—lectures given at professional meetings, research institutes, universities, etc. Emphasize those you were invited to give, such as plenary lectures or panels.
- List any special assignments such as professional committees, editorial boards, leadership roles in professional societies, etc.
- Publications—list in reverse chronological order (most recent first) your publications in professional journals. Give a complete reference including the title of the paper. Include any articles in press or just recently submitted but not yet accepted for publication, especially if they are relevant to the proposal.

## **11. Budget**

Your budget may show itemized expenditures for each year of the anticipated duration of the program. Some agencies require an itemized budget for the first year only and an estimated total amount for succeeding years. Even so, it demonstrates good planning to include a detailed budget for each year.

Keep budget requests modest but do not economize to the point that you jeopardize the project. Program directors can usually tell you in advance what is the size of a reasonable award or "what is the "average level" of funding in their program for the current year. Many agencies award a grant or contract, then negotiate the final budget with you, so plan accordingly.

The specific format for the budget will vary with the granting agency. The form of the BYU Summary Sheet is similar to that requested by most agencies and presents a good format to use if none is specified. However, the BYU form is an internal document and should not be sent to the agency.

The following items should be considered for inclusion in the budget:

- Salaries and Wages
  - Summer salary for principal investigator(s): The National Science Foundation will allow up to two-ninths of your academic year salary. NIH will allow three-ninths. Other sponsors will allow as much as three-eighths. Check with the ORCA office.
  - Under some circumstances you may want to request that the grant pay part of your salary during the academic year. It is also possible, under some circumstances, to obtain supplemental compensation for Saturday and/or evening work (up to 48 days per year). You must request supplemental compensation approval on the budget page of your proposal. The following statement is suggested: "Professional salaries are scheduled to be paid as supplemental compensation to be paid at the regular academic rate, and not to exceed the amount budgeted." (See "Supplemental Research Compensation for Externally Sponsored Work Policy")
- Fringe Benefits

These funds repay the university for its contribution to social security, insurance, medical coverage, retirement, etc.

▸ Expendable Supplies

A wide range of expendable items fall into this category. Do not underestimate. Supplies dollars disappear quickly.

▸ Travel

For government grants, travel within the United States can be listed without much detail. However, each trip to a foreign country must be approved individually and should be listed specifically.

▸ Publication Costs

Show funds needed for publishing your results, including the preparation of related illustrations, art work, and photography.

▸ Computer Usage Costs

If you intend to use the university computers, include funds to cover the costs. Computer Services can help you estimate costs. Include rate and hours.

▸ Indirect Costs

The university recovers indirect costs which are legitimate costs of university services and facilities which support research but cannot be allocated to a specific research project (e.g. accounting, buildings, utilities). ORCA personnel can give you up-to-date information on indirect costs.

▸ Capital Equipment

Any non-expendable equipment which costs more than \$5,000 (currency) is classified as Capital Equipment and should be included and described in some detail. Most granting agencies are reluctant to make large equipment purchases. Thoroughly justify any capital equipment requests in an "Equipment Justification" section after the budget. Granting agencies are most inclined to give matching funds for equipment purchases, with the university or some other source providing the rest. Be sure to describe the source of other matching funds. Note that there are never any indirect costs charged on capital equipment purchases.

▸ Consultants

Consultants should be listed in the budget in a section other than wages and salaries. This item will be charged indirect costs only on the first \$25,000 regardless of the length of the agreement.

▸ Subcontracts

Usually a subcontractor differs from a consultant in that there is a more complete budget involved. A consultant is one individual paid for services. A subcontract may have several wage categories, e.g. supplies, travel, etc. Subcontracts will be

charged indirect costs in the same manner as consultants, that is, only on the first \$25,000 regardless of the length of the agreement.

## **12. Statement of Simultaneous Submission**

Most agencies want to know if you are submitting the proposal simultaneously to other funding agencies. List all the agencies to which you are submitting the proposal. If you are submitting to this agency only, be sure to indicate.

## **13. Appendix**

Often, agencies permit the appending of other related material which may support claims made in the proposal. Keep in mind that your principle objective in preparing the proposal package is to include all the material necessary to demonstrate (1) the need for the research and (2) your ability to carry it out. Be aware, however, that reviewers are often negatively impressed by oversized proposals.

# **Step 7: Resubmitting the Declined Proposal**

Don't be discouraged if your proposal is declined the first time it is submitted. Very often the first submission provides the necessary feedback from reviewers to revise the proposal so that it can succeed upon resubmission. If the proposal is declined, request a copy of the written reviewers' comments from the program director and ask him personally why an award was not made. Generally, he will be pleased to help you because it is in his own interest to maintain a flow of strong proposals to justify continued funding of his program.

Proposals are declined for a host of reasons, many of which are unrelated to its technical merit. Often, good proposals are not funded because funds are limited at the agency. Submission again next year may move the proposal up on the priority list. Sometimes declination results from a poor fit with the program, a problem which might be resolved by a change in emphasis and better communication with the program director. Sometimes proposals are declined because some aspect of the proposal was not clear to the reviewers. A rewrite will help.

Seasoned proposal writers hedge their bets by submitting each proposal to as many agencies as possible. Furthermore, they do not place all their hopes on a single proposal but maintain several different proposals under review in different agencies and programs. Even the most successful proposal writers do not experience a success rate greater than about 50% of proposals submitted.

## **You're not Alone!**

There are people on campus who can help you in your quest for funding. The Office of Research and Creative Activities can put you in contact with another BYU faculty member who has been successful in seeking funding from the same agency you are approaching. Colleagues in your own department may be willing to help with your proposal or may be interested in a collaborative arrangement. The university provides a

free professional editing service through the Faculty Center to help you improve the writing style of your proposal. The Office of Research and Creative Activities will help you prepare your budgets and submittal pages and will even mail the proposal if you wish, if submitted at least two days prior to the deadline. Finally, together with our colleagues in Financial Services, our office can help you set up and manage accounts when your funding arrives. That's when the real fun and work begins!

## **Supplemental Research Compensation for Externally Sponsored Work Policy**

Supplemental compensation is payment received by the faculty member from external sponsors for efforts that require involvement during the faculty member's university contract, over and beyond the normal full-time duties specified in that faculty member's university contract. A university contract for full-time faculty employment, which may have an 8, 9, 10, or 11-month term, serves as the basis for considering and approving supplemental research compensation. The compensation rate is calculated from that faculty member's 8-month stipulated base found in their university contract.

A full-time assignment at Brigham Young University requires a commitment of 5 days per week. The specific assignments involving teaching, research, and university citizenship activities which comprise this 5 day week will vary among faculty members and disciplines, and are determined by agreement and negotiation between the individual and their departmental chair.

Supplemental compensation is available to faculty members involved in any of the different aspects (teaching, research, or citizenship) of their assignments when time and effort take them beyond their full-time contractual commitment as defined above. (Types of supplemental compensation available in addition to supplemental research compensation include: Evening School and Independent Study earnings; paid participation in Know Your Religion lectures, Education Days and Education Week, Youth Programs, Travel Study, and certain conferences and workshops. In addition, the university may pay faculty royalties for inventions, and for development of computer software and instructional materials. On occasion, payment for consulting, which may be thought of as a supplemental activity, is made through the university as supplemental compensation.)

This particular policy concerns supplemental compensation for faculty from research provided by external sponsors. Separate and comparable policies exist in the university handbook which covers supplemental compensation for other types of activities.

Supplemental compensation for sponsored research is limited to an average of one day per week and must be accomplished in such fashion that the 5 day full-time appointment of the faculty is not compromised. Supplemental work can be done during

the week, but it is expected that faculty members will compensate by devoting equivalent time to their primary assignments on weekends or in evenings.

Supplemental research compensation can result from a sponsor's need for grant or contract work that cannot be met by the faculty principal investigator within usual working hours. Added effort may be needed to meet sponsor timetables, to extend the scope of work for special purposes, to conduct field work which keeps the faculty member on assignment for extended periods of time, or to perform other similar kinds of exceptional tasks. While as a general policy faculty members are encouraged to engage technicians, postdoctoral fellows, or student workers to accomplish added research efforts, there may be occasions which require the personal effort of the faculty member to perform essential and extended tasks of the sponsored project.

Care must be taken to ensure that these activities do not conflict with primary university commitments to teaching, scholarly work, and university service. This policy statement, which describes procedures that must be followed so that time spent on research leading to supplemental research compensation compliments rather than compromises other university responsibilities, applies to compensation received from all types of external grants and contracts.

A further constraint applies to federal grants and contracts in that the method and extent of such compensation must meet federal legal requirements and adhere to policies restricting supplemental compensation that are imposed by the government granting agencies.

Supplemental research compensation is provided for specific days (or time periods) dedicated to the extended activity. Participating faculty members are required to keep a log of the hours and days they are engaged in supplemental work for which they will request supplemental compensation. In general, time periods devoted to supplemental research should be kept separate from the time devoted to regular university activities. The policy is intended to apply to regular personnel (those with at least a 75 percent contract). It is not intended for part-time personnel.

## **Limitations**

Because the regular faculty assignment involving teaching, scholarly work, and university service is a full-time commitment, all activities which involve extended time undertakings should be carefully considered and limited as necessary. The presumption is that whenever a faculty member spends, on the average, a cumulative total of more than one work day per week on supplemental research, consulting, and continuing education outreach activities, (Outreach programs in the Division of Continuing Education include the Know Your Religion lectures, Education Days and Education Week, Youth Programs, Travel Study, and Conferences and Workshops.) further engagement in such activities will detract from the primary commitment of the faculty member to the university. If such activities are done during the workweek (Monday - Friday), there is an expectation that the faculty member will make sure that assigned contractual academic responsibilities are not neglected, which means that he or she will

probably need to devote equivalent time on weekends or in the evenings to compensate for the time taken from their academic stewardship.

Unless a special exemption is granted by the Associate Academic Vice President for Research and Graduate Studies, in consultation with the appropriate Chair and Dean, supplemental research compensation is possible only for semesters or terms during which the faculty member has university responsibilities in teaching and/or on university service for which they are under university contract. Thus, supplemental research compensation will usually not be authorized when the faculty member is free to devote full-time to a research sponsor, such as during a spring or summer when she or he could be paid entirely from an external research grant or contract.

## **Approval**

Supplemental research compensation will be allowed for any grant or contract only when the following conditions are met:

- An external research grant or contract is available for funding the supplemental work.
- Prior to the performance of the work, written approval for receiving supplemental research compensation is obtained from the department chair, dean, Office of Research and Creative Activities (ORCA), and the Associate Academic Vice President for Research & Graduate Studies. The form "Approval for Professional Activities in Addition to Regular University Assignment: A. Supplemental Research Compensation" will be used for this purpose.

Criteria for approval are as follows:

- Approval by the Department Chair and Dean

Before giving approval, the department chair should review the request in the context of the individual faculty member's current assignments. The signature of the department chair indicates that the department has determined that involvement of the faculty member is required to perform the work, and that such work would exceed the usual workload and would thus merit supplemental research compensation. At the same time, approval assures that the faculty member is not overcommitted to the point that primary or core university assignments in teaching, scholarly work, and university service are compromised. The dean of the college or school must likewise approve supplemental research compensation, again verifying that the faculty member has the time to do the work without compromising core assignments.

- Approval by the Office of Research and Creative Activities and the Associate Academic Vice President

Approval for supplemental research compensation will be authorized and acknowledged only if one or more of the following conditions are met:

- Approval and acceptance is obtained from the external sponsor in which the requirement for supplemental research compensation is clearly specified and included in the budget and scope of the work of the grant or contract. (Approval cannot be obtained from certain external granting agencies such as the National Science Foundation, which do not allow such payments.)
- Written authorization is provided by the sponsor to allow the payment of supplemental research compensation from an existing grant or contract.
- Where work is performed under a "Fixed Price Contract," requests for supplemental research compensation may be included in the original proposal or may be approved after the project commences, if appropriately justified. If funds are available within the current contract, external sponsor approval for the change is not usually required. Use of residual funds (at the end of the contract) for supplemental research compensation will not be approved.

### **Levels of Compensation**

Compensation must not exceed the calculated daily rate of pay for the faculty member (s) in question and is calculated from the individual's stipulated 8 month base. The daily compensation rate is calculated by dividing the 8 month base pay by 1386 to get the hourly rate. (Faculty members do not account for their time via a "time clock" system and are not constrained to a 40 hour week. However, their hourly rate is obtained by assuming that the faculty 8 month contract is based on 34.65 weeks at 40 hours per week.) Daily rates are then 8 times this figure. This calculation will be made by the Office of Research and Creative Activities (ORCA) using the official university payroll records.

### **Procedures for Obtaining Payment**

Payment for supplemental research compensation requires submission of proper payment authorization documents after notification that the form "Approval for Professional Activities in Addition to Regular University Assignment: A. Supplemental Research Compensation" has been completed and signed by all required parties prior to the start of the work. Payment must be requested after the work is done; for example, at the end of the month for the days during the month when supplemental research was actually performed. Approval may be given for days when the faculty member is away from the university, such as when traveling or on vacation or leave, only for documented and dedicated time periods when the faculty member is actually doing the supplemental work.

A request for approval of payment for supplemental research is limited to work accomplished within 90 days prior to the request. Prior approval for payment (future dates) will not be allowed. To receive compensation for work during the month or quarter, the faculty member submits a completed "Request for Supplemental Research Compensation" form. These forms are available from the Office of Research and Creative Activities (ORCA) and must be approved by that office's Director, who will ensure that sufficient funding is available in the research account.

### **Reports**

The Office of Research and Creative Activities can provide to the dean of each college an annual report of the time worked and the total supplemental research compensation paid to each faculty member. Deans also receive a more comprehensive report of all supplemental compensation resulting from any type of overload activities. The faculty member should maintain a continuous and current record documenting the time spent on the supplemental research activity. The record must be available, if needed, for audits or other reviews. The entries must agree with the times for which compensation is requested.

### **Summary of Procedures**

The following is a summary of the steps that must be followed for a faculty member to receive supplemental research compensation:

- Research grants or contracts from an external sponsor must specifically allow and approve the payment of supplemental research compensation to the faculty member.
- The form "Approval for Professional Activities in Addition to Regular University Assignment: A. Supplemental Research Compensation" is completed and signed before the work is started. (Copies of this form are available from the Office of Research and Creative Activities.) The following associated approvals are required when completing this form :
  - Approval by the department chair and dean verifying that the faculty member has the time to do the extra work without compromising core activities. The chair and dean also confirm that the involvement of the faculty member is necessary to perform the work through supplemental research compensation.
  - Approval by the Office of Research and Creative Activities (ORCA) and the Associate Academic Vice President for Research & Graduate Studies verifying that the supplemental research compensation requested can properly be charged to the applicable research grant or contract.
- The form "Request for Supplemental Research Compensation" is completed by the faculty member at the end of each month or other time period during which work was performed and compensation is requested. This form, which lists the actual days

during the month for which supplemental research compensation is requested, is available from the Office of Research and Creative Activities (ORCA).

▸ Record of the work performed. The faculty member must keep a continuous and current record, which will be made available upon request for audit purposes, indicating the times spent on the supplemental research activity.

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