Graduate School of Management Research and Teaching Support (RATS) Policy

1 Purpose

This policy sets forth guidelines for the allocation and use of Research and Teaching Support (RATS) funds by Academic Senate faculty at the GSM. This document aligns our RATS policy with other business schools and University and School guidelines for the use of financial resources.

2 Guiding Principles for the Use of RATS Funds

GSM policy for the use of RATS funds is guided by the following.

1. This policy emphasizes the use of RATS funds as a valuable tool for each faculty member’s research and teaching needs. The policy creates guidelines that are sufficiently flexible as to not be onerous.
2. This policy was created with the purpose of ensuring that these funds are spent in a way that is consistent with the appropriate use of public funds according to University policies and the financial sustainability of our School.
3. RATS funding may not be used for faculty salaries. RATS are additional funds to support the School’s research and teaching mission.
4. RATS purchases should be reasonable, appropriate, and made in alignment with the ethical business practices on which the University and School are founded.
5. Equipment purchased with teaching and research funds is the property of the University.
6. Prohibited use of RATS funds includes any items or services for personal use unrelated to teaching or research.
7. All decisions regarding RATS amounts are subject to oversight by the Dean. The Dean may delegate such oversight to other GSM administrative persons, such as the Senior Assistant Dean for Strategy and Finance.

3 RATS Allocation

RATS accounts are designed to provide resources for faculty to support research and teaching responsibilities while providing convenience and flexibility to manage expenditures according to individuals’ needs and priorities.

Beginning July 1, 2014, the School will increase the RATS base to $10,000 for each Senate faculty member teaching a full course load. This RATS allocation shall be subject to the following additional considerations (and other provisions of this policy).

1. RATS funds will be appropriated annually for the fiscal period of July 1st to June 30th.
2. Faculty teaching in San Ramon shall receive an additional $900 per 3-unit course taught, and $300 per 1-unit course taught.
3. Faculty teaching a class of more than 25 students shall receive an additional $30 per unit per student in excess of 25 students, with a maximum of $90 per student per class. This amount will be appropriated in the quarter following the teaching.
4. Faculty taking a regular sabbatical shall receive a reduction of $500 for each 3-unit course (or equivalent) not taught as a result of the sabbatical. Faculty taking an in-residence sabbatical shall not receive a reduction of $500 for each 3-unit course not taught as a result of the sabbatical.
5. Faculty taking leave other than a sabbatical leave (e.g., medical leave) shall have their RATS base allocation reduced by the proportion of the year on leave.

6. Faculty with an approved reduced teaching load due to buyout or administrative duties will be considered to have a full course load with respect to their RATS base allocation.

7. UC Davis faculty with a joint or similar continuing faculty appointment in the GSM unit shall receive a RATS base allocation commensurate with their contribution to teaching and research at the GSM. Such amount shall be decided by the Dean.

3.1 Deficits

The limit for deficit RATS account spending is $2,500 at the end of the fiscal year. If a faculty member exceeds that amount, he or she shall work with the Associate Dean for Faculty to resolve the deficit. Faculty are strongly encouraged to alert the Business Office as soon as possible if they forecast they will be in deficit.

3.2 Carry-Forward

Faculty shall not carry forward more than $2,500 to the next academic year unless such amount is approved by the Dean.

4 Purchasing Procedure

Purchases of any kind, including Bookstore orders, should be administered through GSM Administrative Services (i.e., Business Office, Information Technology, etc.). If out-of-pocket purchases become necessary, reimbursement requests shall be submitted to the Business Office within 21 days of the purchase or run the risk of non-reimbursement. All supplies/services must be received by the GSM by June 30 to be included in closing balances. Purchases and/or reimbursement of expenses shall comply with University policies.

5 Teaching

The School will provide basic office supplies. Classroom supplies and/or office equipment, for example, blue books or copies of exams or presentations, flip charts, etc. will be charged to RATS accounts.

Transportation expenses for traveling to teach in Sacramento will be reimbursed from faculty RATS account. Lodging expenses related to teaching in Sacramento will not be reimbursed. The School will reimburse faculty for transportation expenses to and from San Ramon and for reasonable lodging in San Ramon when faculty teach both Friday and Saturday consecutively. No lodging will be reimbursed unless faculty teach both Friday and Saturday consecutively.

While the base allocation of $10,000 includes support for grading assistance, if needed, faculty may also apply for an additional amount from a central fund when the teaching assistance involves direct student contact, such as a TA or tutor. This additional teaching assistance will be assigned with priority given to courses with high enrollments and where teaching assistance would benefit student-learning outcomes. To reduce the administrative burden, faculty are encouraged to request that Academic Operations and Planning post openings, provide applicant information to the instructor for review and selection, process employment paperwork, and provide an orientation to all such employees.

6 Research

Appropriate uses of RATS funds to support research include, but are not limited to, travel to conferences, software, transcription services, scholarly journal subscriptions, memberships in professional organizations, or
journal submission fees. Some individual items may be subject to maximum limits for reimbursement as per University policy.

Travel to a conference as a presenter, discussant, or organizer will be supplemented by the School. Faculty must first apply to the University’s Committee on Research for travel funds. Following this application, net of any research travel grant, faculty will be eligible for up to $1,500 in reimbursement from the School for one international trip per year and for up to $1,000 per trip for all domestic trips.

All travel and entertainment expenses must be consistent with the University’s Travel and Entertainment Policy, GSM Policy, and any other applicable university policies. Under special circumstances, it may be appropriate for faculty to travel to international locales or attend conferences in expensive hotels. Such expenditures may attract a higher level of scrutiny, and faculty should be prepared to demonstrate that the locale or conference is appropriate in light of their research program. Faculty are urged to contact the Business Office to seek approval in advance of any amount about which they are concerned.

Research assistance shall be paid for from faculty RATS accounts. Each quarter, the Director of Academic Operations and Planning will take requests for research assistance (GSR, student assistants, junior specialists) for the following quarter. The Director will confirm with faculty the number of employees needed, the job title and description, the duration of the appointment, estimated workload, and availability of funding. To minimize the burden, faculty may request that Academic Operations post openings, determine eligibility of applicants, provide applicant information to faculty for review and selection, process employment paperwork, and provide an orientation to all such employees.

7 Computers, Wireless Devices, Cell Phones

The School will cover the initial cost of one laptop, one desktop, and the associated monitor for newly recruited faculty, up to $5,000. The Information Technology Group will coordinate with new faculty to determine an appropriate and reasonable system configuration and operating system software. These devices will be replaced with RATS funds on cycles as explained below.

Faculty may request to use RATS funds to purchase up to two additional devices (e.g., desktop, second laptop, tablet, personal printer) based on teaching, research, or operational needs. These additional devices will be replaced with RATS funds on the cycle provided below. All devices purchased with RATS funds shall be inventoried by the Information Technology Group. The School will not reimburse faculty for devices purchased with personal funds.

In the interest of conserving resources, the GSM will continue to promote the use of group printers, which are paid for by the School.

The School will provide and support the following software for School computing devices:

- Microsoft Windows
- VMWare Fusion for Mac
- Microsoft Office for Mac/Windows (i.e., Word, Excel, Powerpoint, and Outlook)
- Adobe Acrobat Pro
- SPSS Statistical software
- Sophos Antivirus
All other software shall be purchased, upgraded, or renewed through faculty RATS accounts. Exceptions to this policy, for example, to accommodate specific research or teaching needs, shall be made to the Dean or designee, such as the Associate Dean for Faculty.

7.1 Computer Replacement Cycle

Eligible equipment shall be replaced only when necessary, and not more often than the following cycles:

- Desktop computers: Every four years.
- Monitors: Every five years.
- Laptops: Every three years.
- Tablets shall be replaced in accordance with the service provider contract, but not more often than every two years.
- Personal Printers: Every five years.

8 Home Office Furniture, Wireless Devices, and Home Internet Service

Faculty members may not use their RATS funds to purchase home office equipment or furniture unless necessary, for example, to accommodate a documented medical condition. Faculty members are strongly urged to purchase this equipment from UCD Buy or the UCD Furniture Program, which can also assist with any repair or warranty issues.

Recent correspondence with the five other UC business schools shows that no other UC schools provide reimbursement for faculty cell phones, wireless devices, or home internet connections. Therefore, to maintain consistency across the UC, the GSM will discontinue reimbursement for faculty cell phones, wireless devices, and home internet service. The School will continue to pay for existing cell phone and wireless device services until the existing contracts run out, at which time a new service will not be renewed. Home internet service will not be reimbursed after June 30, 2014.

9 Policy Exceptions

Requests for exceptions, for example, to fund specific, multi-year projects, or to request exceptions based on operational/business needs, or to appeal the denial of purchases or reimbursements, may be made to the Dean.

10 Monthly Reports

The Business Office will provide faculty with their RATS account balance on a monthly basis. Any questions about account balances should be directed to the Business Office. Training on processing expenses or reading account balance ledgers is available upon request to the Business Office.

Policy Effective: 1 July 2014