

**FRANK BATTEN SCHOOL OF LEADERSHIP AND PUBLIC POLICY  
GRANT PREPARATION, SUBMISSION, AND FUNDING POLICIES**

Date: Feb 2017

Policy ID: FAC-004

Reason for Guidelines: This document provides guidelines for preparing proposals for external grants and contracts from federal or state agencies as well as foundations.

Statement: Applications for external funding should be of the highest quality. Quality is the product of a deliberate, timely proposal preparation process that provides for appropriate input, assistance, and review from faculty colleagues, mentors, research administrators and the Dean. These guidelines create a framework to standardize the proposal preparation process and expectations for all parties thereby improving efficiencies and minimizing errors in workflow.

- A. Timeline: Proposals should be completed and submitted to the Office of Sponsored Projects (OSP) for review not less than five business days prior to the funding agency's deadline.

Steps in the preparation of proposals for submission to OSP:

1. Batten's Research Support Team Liaison should be contacted as soon as the PI contemplates a grant submission to ensure the Research Support Team has adequate time for the pre-award process. The url to the sponsor's announcement should be provided.
2. Conduct intake process with Support Team Liaison. This intake process will follow the OSP Proposal Routing form and help identify any potential issues with the submission process. Discuss any course buyouts or summer months with Associate Dean.
3. Collect additional document requirements such as biosketches, certifications, letters of support, etc. These requirements will be listed in the solicitation or supplementary guidance.
4. Complete the Conflict of Interest disclosure if required by sponsor.
5. Submit proposal for Dean and Associate Dean to review.
6. Dean and Associate Dean evaluate project technically and fiscally. Approves for the school.
7. Submit all materials to Research Support Team no less than ten business days prior to agency's deadline. This ensures they can review your package and get it to the Office of Sponsored Programs (OSP) by the submission deadline.
8. Office of Sponsored Programs (OSP) reviews proposal for sponsor and University policy compliance and submits proposal to sponsor.

- B. Buy-outs: Course buyouts are meant to support a faculty member's scholarly activities in a way that enhances his or her scholarly productivity. In deciding whether to grant a course buyout, the Dean and Associate Dean must consider how doing so helps to further the scholarly mission of the School. The granting of a course buyout cannot result in the dropping

of a core course from the curriculum. Special care will be taken to ensure that the School still meets its obligations to the undergraduate and graduate curriculum when using course buyouts or releases.

1. Course buyout rate will normally be 1/6 of salary (plus fringe benefits) to buy out one course. A course buy-out does not relieve the faculty member of service obligations. A single course buy-out will normally result in the faculty member's remaining teaching load being spread out evenly across semesters, so that the faculty member remains available for service work and student advising during the entire academic year.
2. The Dean reserves the right to permit a faculty member who has an approved course buy-out to teach a 2:0 (or 0:2) load, if this serves curricular needs or otherwise promotes the School's institutional interests.
3. To buy out an entire semester (including service obligations) normally will require one-half (plus fringe benefits) of salary. Semester buy-outs will generally only be approved in conjunction with sabbatical or other paid leaves in order to permit the faculty member to devote the full year to the project. Timing of course buy-outs, and identity of the course(s) to be bought out, are subject to Dean's approval.

C. Course buy-outs and summer wages subject to salary caps:

1. Faculty members are expected to raise the full pro rata share of their base salaries to buy out of courses if it is allowable to do so under the rules of the grant sponsor. However, the Batten School recognizes that some federal agencies (e.g, the NIH) limit the amount of a faculty member's salary that can be charged against the grant. In the case of faculty members subject to a salary cap set by a government agency or other external grant sponsor, the Batten School will normally permit faculty to buy out of courses at the capped amount provided the cap is high enough to allow the School to hire suitable replacement faculty. Buyouts at less than the full pro rate share of base salary must be approved by the Dean.
2. A faculty member subject to a salary cap imposed by the grant sponsor may receive up to the capped salary amount during the summer, with additional "topping up" of salaries *not* provided by the Batten School. The faculty member may, however, be permitted to supplement their summer salary using other sources—such as start-up packages or indirect cost recovery accounts—to the extent allowed by Federal, State, and University regulations, and Batten School policies.

D: Cost Share: The portion of total project costs of a sponsored project that is not borne by the Federal sponsor. These costs are also referred to as recipient share or matching and are representative of the institution's financial contribution toward a sponsored project.

1. When committing cost share in a proposal, considerations about sponsor expectations, internal budget impacts and resulting administration should be weighed. Cost sharing is usually only necessary when mandated by the sponsoring agency or by the competitive nature of the proposal.
2. Cost sharing must be approved by the Dean.

- E. F&A: Beginning with full implementation of the University Financial Model in FY17, the University is remitting 100% of F&A to the Schools.
1. Batten's Business Office calculated that to fully cover Batten School overhead for research support, which is currently about \$94,000 per year, based on projected FY17 grant volume (\$394,402) would require about a 67% holdback by the Dean's Office (projected F&A to Batten for 2017 is only \$143,000 total).
  2. To incentivize sponsored research, the Batten School will cover up to \$100,000 in overhead for the next three years, FY17, FY18, & FY19. Real costs and real F&A remitted to the School over these three years and level of service provided/needed will be assessed to determine the future course of action.
  3. If research volume increases to the point where additional administrative support/infrastructure is needed prior to the end of FY19, a School cost recovery mechanism may be put into place for amounts over \$100,000.
  4. For grants administered through the various Batten School research and engagement centers, the share of F&A retained by the centers or returned to the PI will follow center bylaws. For Batten-administered grants not run through the centers, the Batten School will return 35% of F&A to the PI.