

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

Revised May 2024

Policy ID: FAC-004

Reason for guidelines: This document provides guidelines for preparing proposals for external grants and contracts from federal or state agencies, foundations, and other sponsored program funding sources that advance the research and/or engagement priorities of Batten faculty and Batten School Centers. This policy is not applicable to donor gift funding of faculty, research center, or Batten School initiatives.

Statement: With our teaching, research, and engagement academic mission, the Batten School has a keen interest in supporting and incentivizing sponsored program awards that support our faculty and Centers. This policy aims to support reasonable and equitable access to grant funding resources while protecting the financial viability of our overall sponsored program portfolio at the school level.

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.

Implementation: This revised policy will take effect for proposals submitted to the University Office of Sponsored Programs (OSP) on or after July 1st, 2024.

A. **Timeline:** Proposals should be completed and submitted to OSP for review not less than ten business days prior to the funding agency's deadline.

Steps in the preparation of proposals for submission to OSP:

1. Batten's Research Administration staff should be contacted as soon as the Principal Investigator (PI) contemplates grant submission, either as the lead applicant or as a sub-awardee from a pass-through entity. Any links or documentation pertaining to the announcement or proposal should be provided.
2. PI will develop a draft abstract and timeline for the proposal and provide to Batten Research Administration staff.
3. PI and Batten Research Administration staff will jointly develop a budget for the proposal. Depending on the requirements of the sponsor and the University, this budget may be presented in several formats.

4. PI and Batten Research Administration staff will collect additional document requirements such as biosketches, certifications, letters of support, etc. These requirements will be listed in the solicitation or supplementary guidance.
5. PI will complete Conflict of Interest training and disclosures as required by the University (if required by sponsor).
6. Batten Research Administration staff will develop the internal proposal, including the above documentation, and review with the PI. The internal proposal will be certified by the PI and routed to the Associate Dean for Academic Affairs for approval and submission to OSP.
7. PI will discuss any course buyouts or summer months with the Assistant Dean of Academic Programs, Research Administration staff, and the Associate Dean for Academic Affairs.
8. In conjunction with the PI and Batten Research Administration staff, OSP reviews proposal for sponsor and University policy compliance and submits proposal to sponsor (or approves the PI to submit the proposal to the sponsor directly).

B. **Buyouts:** Course buyouts are meant to support a faculty member's activities in a way that enhances his or her productivity. In deciding whether to grant a course buyout, the Dean and Associate Dean must consider how doing so helps to further the 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 buyout does not relieve the faculty member of service obligations. A single course buyout 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 and the Associate Dean for Academic Affairs reserve the right to permit a faculty member who has an approved course buyout 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 buyouts typically will only be approved with sabbatical or other paid leave to permit the faculty member to devote the full year to the project.
4. The timing of course buyouts, and identity of the course(s) to be bought out, are subject to Dean approval.

C. **Course buyouts 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 sponsoring agency. However, the Batten School recognizes that some sponsors (e.g., the NIH) may 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 grant agency, 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 compensate suitable replacement faculty. Buyouts at less than the full pro rata 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, but additional “topping up” of salaries *will not* be 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:** A cost share arrangement exists when the sponsor does not fund the total proposed project costs but instead requires a matching or recipient share to be borne by the Batten School or University.
1. When committing cost share in a proposal, considerations about sponsor expectations, internal budget impacts, and resulting administration should be weighed. Cost sharing is 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. **Overhead:** Total overhead costs to support sponsored programs at the Batten School includes direct Batten School costs such as research administration staff, facility, utility, and other costs as well as the central University tax levied on all direct and indirect sponsored program expenditures including sub-awards.
1. **Offset to sponsored program overhead obligations (Offset):** The Batten School is committed to supporting and growing our portfolio of sponsored programs and ensuring all sponsored program funds received by the school are used to support sponsored program expenditures and related overhead obligations. To provide for the sustained financial viability of our sponsored program portfolio, a percentage of the *total dollar value* (including F&A) of each sponsored project will be set aside to partially offset these overhead expenses.
 - a. **Process for setting offset rate:**

As part of the School’s annual budgeting process, Batten finance staff will provide a recommendation on the level of school financial support and resulting offset rate for sponsored programs based on current portfolio size, cost structure, and future expectations. Once approved by the Dean, this rate will be published by May 1st and take effect July 1st for all sponsored program proposals submitted to OSP thereafter.
 - b. **Offset minimum:**

A minimum offset of \$5,000 will be charged to any awarded sponsored program from an external-to-UVA funder. See section e. below.

- c. **Offset maximum:**

While factors outside of the control of the school such as University policy changes may necessitate adjustments to offset rates over time, the offset rate will be capped such that the total offset generated by sponsored programs will not exceed the total overhead generated by sponsored program activity at the Batten School.
 - d. **Offset sources:**
 - i. Sources to support the required offset will be clearly identified in the pre-award budgeting process prior to proposal submission. Research Administration staff will support faculty in structuring grants and identifying offset sources to maximize proposal competitiveness while remaining in compliance with this policy.
 - ii. Anticipated offset sources may include:
 - 1. Academic-year Batten faculty effort that offsets existing compensation from the Batten School.
 - 2. Batten research administration or other staff efforts that offset existing compensation from the Batten School.
 - 3. F&A earned by the grant vehicle.
 - 4. Other fund sources available to the PI outside of the grant vehicle.
 - e. **School support of offset:**
 - i. For sponsored program proposals with insufficient offset sources but with exceptional benefits for the PI, Batten students, or the Batten School, a request for school sponsored offset support can be made to the Associate Dean for Academic Affairs and must be approved by the Dean.
 - ii. Sponsored projects that are not able to otherwise meet offset requirements at the published rate are not fiscally viable for the School and should not be pursued.
2. **F&A in excess of identified offset sources (Excess F&A):** The Batten School would like to provide positive incentives to faculty to pursue sponsored program opportunities. At the same time, this policy should avoid unintentional incentives that might either discourage faculty from partnering with Batten School Centers or encourage unrelated sponsored programs to be processed through Batten School Centers. The following excess F&A policy terms offer a practical balance to these possible incentive motivations.
- a. For sponsored programs originating from individual PIs within the Batten School or a Batten School Center, or for sponsored programs originating outside of the Batten School for which a portion of program funds and F&A are remitted to the Batten School, any F&A in excess of the amount identified as an offset source for the program (or program portion allocated to Batten) will be distributed as follows:
 - i. For a sponsored program not affiliated with a Batten School Center, 50% of excess F&A will be distributed to the PI and 50% will be retained by the Batten School.

- ii. For a sponsored program affiliated with a Batten School Center, 100% of excess F&A will be distributed to the Center to be distributed per Center bylaws with the caveat that no more than 50% of the excess F&A will be distributed to the PI of the sponsored program.

3. **Special circumstances**

- a. **Transferred sponsored programs:** Overhead on active sponsored projects external to the Batten School, that are subsequently transferred into the Batten School, will be handled on a case-by-case basis in consultation with the Associate Dean for Academic Affairs and the PI; any circumstances not in compliance with this policy will require approval by the Dean.
- b. **Large sponsored programs:** Any single sponsored program proposal with a total dollar value administered by the Batten School in excess of the large sponsored program threshold (calculated annually as approximately 50% of the total annual sponsored program budget for the Batten School in the applicable fiscal year of submission) has the potential for significant cost impacts on the school and may require a higher offset rate than the annual posted rate. These proposals will be handled on a case-by-case basis in consultation with the Associate Dean for Academic Affairs and require approval by the Dean.
- c. **School-sponsored programs:** Any sponsored program proposal for which the school itself is the sponsor or requires direct participation of school-funded Batten staff (other than the Research Administration team) has the potential for significant impacts on school operations and may require a higher offset rate than the annual posted rate. These proposals will be handled on a case-by-case basis in consultation with the Associate Dean for Academic Affairs and require approval by the Dean.