

# COLLEGE OF HEALTH SCIENCES

## Grant Submission & Investigator Buy-out Policies

Revised 9/07/05

CHS doc A1.2

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Research, scholarship and grant writing are vital and expected responsibilities of CHS faculty and research academic staff. To establish and sustain these efforts in the College of Health Sciences, investigator buy-outs during the academic year should be included in all extramural grant proposals whenever appropriate. Investigator buy-outs should be administered in a way to support instructional replacement costs and enhance scholarship in the College and Department. In addition, CHS investigator buy-outs are designed to provide incentives for continued grant writing and reinvestments in research. To this end, this document is intended to facilitate the grant proposal submission process.

- **APPROVAL PROCESS:** All grant proposals need prior approval of the department chairperson, and the Associate Dean for Graduate Studies & Research in that order. It is recommended that a minimum of 72 hours be allowed for review and signature approval for grants and advanced notification of a forthcoming grant be given. The following are required for proper review and signature approval:
  1. Transmittal (extramural) and/or grant routing (intramural) forms
  2. Standard budget worksheet (or other suitable worksheet) with budget narrative
  3. Title and or abstract page
  4. Written request for matching funds or other special accommodations.
  
- **INDIRECT COSTS:** Indirect costs need to be included on all extramural grants where allowable. If indirect costs are capped or not allowed by the granting agency, attempts must be made to build these costs into the direct cost of the grant. The Graduate School and CHS will expect to recover a minimum amount of overhead on all grants including those where indirect costs are restricted. Please see separate indirect cost policies, CHS doc A.1.3
  
- **BUY-OUTS:** Extramural grant proposals should include investigator buy-out provisions during the academic year, which accurately reflect the actual amount of time and percent effort being contracted for by the sponsoring agency. Investigators are expected to provide an appropriate amount of their salary during the academic year for time and effort spent on extramurally sponsored research from the granting agency. Buyouts can consist of a faculty member's research time or instructional workload time. A minimum of 12.5% effort is needed to buy-out of one 3cr group-instruction course (or equivalent) during the academic year, whereby 0.125 of the investigators academic year salary will be encumbered. Salary savings from buy-outs are used to support investigator, department and school-wide research efforts (e.g., SEED program, equipment repairs, etc. – see formula below).
  
- **SUMMER:** Investigators are encouraged to use grant funding to support research efforts in the summer. Up to 2/9 of summer salary can be requested. Occasionally it is necessary for an investigator to request 3/9 summer support from a grant which will require an overload approval. For grants requiring a significant percent of investigator effort, it is expected that a balance will occur between percent efforts in the summer and academic year. Each summer 1/9 salary request beyond the first 1/9<sup>th</sup> request must be accompanied by either: a) a 12.5% course buyout during the academic year; or b) a 10% buyout during the academic year if not associated with a course buyout. A onetime, 1/9<sup>th</sup> summer salary request need not be accompanied by a buyout. However, if more than a onetime, 1/9<sup>th</sup> summer salary is requested, each additional 1/9<sup>th</sup> must be accompanied by either a 10 or 12.5% buyout during the academic year.

#### **BUY-OUT INCENTIVE FORMULA:**

The buyout incentive is an attempt to provide investigators and departments with funds to reinvest in research. In calculating these returns, instructional ad hoc replacement costs will be deducted first from the buyout savings. The net balance will then be allocated so that 60% is returned to CHS administration with 40% allocated to the investigator and investigator's department. The amount allocated to the department and investigator can be negotiated with the department Chair, but it is suggested that 60% be returned to the investigator, and the department retain 40%. Although the department exercises discretion in the distribution of its portion of the buyout funds, priority must first be given to covering provisional costs and reinvesting in research. If salary is included in a grant for the purpose of buying an investigator out of an elective course, but no suitable replacement instructor can be found and the course cannot be offered, the investigator may seek approval from the department chair and associate dean to recover the replacement ad hoc amount and use it for S&E, summer salary support, etc. With the dean's approval, extramural grants may also be used to supplement the 65% salary afforded faculty receiving an academic year sabbatical award.

The following will apply to all extramural grants of \$20,000 or more (direct costs) per year:

A minimum of 10% of the total direct cost of grants of \$20,000 or more needs to be recovered for the Department/College whenever indirects are disallowed by the granting agency. For example, a \$20,000 grant with no indirect costs allowed, will require \$2,000 be built in to the direct costs for the Department/College. A \$100,000 grant with no indirect costs allowed, will require \$10,000 be built in to the direct costs of the Department/College. This built-in 10% will allow departments to cover grant-related expenses such as supplies, copying, mailing, telephone, program assistant and work-study student wages, etc.

#### **EXCEPTIONS & EXCLUSIONS:**

There will be exceptions to the buyout policy for some grant proposals, especially those that limit expenditures on salary, or include Graduate Research Assistants, etc., and these need to be discussed with the department chair and the associate dean in advance.

**COLLEGE OF HEALTH SCIENCES  
GRANT SUBMISSION - HOLD HARMLESS FORM**

**Purpose:** This is an internal agreement form between the Principal Investigator and the College of Health Sciences' Office of Graduate Studies & Research. It is meant to facilitate the grant submission process in the absence of adequate time for proper internal review (for whatever reason) and approval. It is meant to hold harmless the Department and College from obligations or commitments due to inadequate review. The signatures on the grant acknowledge acceptance of the conceptual project stated in the grant proposal, but recognizes that there may be budgetary or other aspects of the grant that still need to be internally negotiated. Under these circumstances, certain components of the grant may need to be reconsidered. Any revision to the grant that may affect its review or impact to the granting agency will be immediately made known to all parties, including the funding agency.

**Disclosure:** The attached grant proposal was submitted without advanced notice or sufficient review by the appropriate Chairperson or Associate Dean for Graduate Studies & Research. Because of the need to submit the grant to the appropriate granting agency within the stated deadline, the principal investigator acknowledges that certain aspects of the grant may need to be internally renegotiated following its submission. Renegotiated items may include, but are not limited to, commitments of space, equipment, salary, percent effort, course buyout, indirect cost recovery, other personnel, etc. The College has made every attempt to facilitate submission of this grant, but in doing so, the investigator acknowledges that there may need to be revisions in order to be consistent with University and College administrative policies.

Title of Grant \_\_\_\_\_

Granting Agency \_\_\_\_\_

Principal Investigator (date) \_\_\_\_\_

Chairperson (date) \_\_\_\_\_

Associate Dean (date) \_\_\_\_\_