

Research and Travel Funding at the Frank Batten School of Leadership and Public Policy

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Policy ID: FAC-008

Contact Office: Academic Affairs Office

Oversight: Associate Dean for Academic Affairs

Reason for Policy: This policy provides parameters and guidelines for funding Batten School faculty research, travel, and summer wages.

Policy Statement: A primary purpose of the Frank Batten School of Leadership and Public Policy is to generate useful knowledge. Funding faculty research is a specific strategy that the School uses to achieve this end. Whenever feasible, the School will allocate funds on an annual basis to support faculty research and travel. Generally, the funds are allocated to faculty members from the Batten School's general operating funds (or reserves) and then tracked in designated faculty research accounts to insure compliance with relevant policies, laws, and restrictions, and regulations.

A. Tenured or Tenure Track Faculty whose primary appointment is in the Batten School

1. A designated Batten School research account is established for each new full-time tenured and tenure track faculty member. The Batten School typically provides such faculty with start-up research funds. The Dean and the prospective faculty member negotiate the amount of funding, and the amount varies based on the candidate's academic record and discipline. The exact amount of research funding provided is specified in the faculty member's initial appointment letter. These funds are intended to support faculty research for the initial three-year appointment, but unspent balances do roll over into subsequent years.
2. Each full-time tenured and tenure track faculty member receives \$2,500 per year for academic travel (intended to fund both research travel and travel to professional meetings and conferences). The annual academic travel allocation is provided even while the faculty member has start-up funds in their research account.
3. Once the research start-up funds are completely expended, the faculty member's research account is funded with \$7,500 at the beginning of each fiscal year (July 1). While \$5,000 is intended for research expenses and \$2,500 is the continuing annual travel allocation detailed above, the money is fungible.
4. If the faculty member's start-up funds are completely expended prior to the end of a fiscal year, a pro-rated portion of the \$5,000 annual commitment, calculated based on the date when the start-up account balance is \$0, will be made to the faculty member's research account.
5. Unspent research funds rollover into subsequent years, but the balance in a faculty account, after start-up funds are expended, is capped at the equivalent of two years research and travel support (currently \$15,000). Every July 1, faculty research accounts will be replenished to a balance that does not exceed this limit.
6. Batten School provided research funds can be used for personal summer wages only with the written approval of the Dean. The faculty member must provide a written rationale for using the Batten School funds for personal summer wages and demonstrate that all reasonable alternative sources of funding

for summer research have been exhausted. If the use of Batten School research funds as summer wages is approved by the Dean, the faculty member must provide a brief written report describing the research that was completed during the summer and its relevance to the Batten School and the University of Virginia.

- a. University policy permits summer wage payments to faculty on academic year contracts who are employed to conduct research during the summer. Compensation is based on previous academic year salary and total pay from all sources for the summer period may not exceed 3/9ths of the prior academic year salary.
7. The individual terms and conditions of annual research and travel allocations made to Batten School tenured and tenure track faculty are detailed in faculty appointment letters, and the faculty member can generally expect to receive some University provided research support throughout their term. However, such funding is discretionary and the Dean, in periods of financial exigency, may modify funding practices and annual funding amounts in consultation with the Dean's Council.

B. General Faculty and Tenured or Tenure Track Faculty whose primary appointment is not in the Batten School

1. Batten School research and travel funds are also available through an annual application process to (1) general faculty member and (2) tenured or tenure track faculty whose primary appointment is not in the Batten School, and who have taught a course for the School in the current academic year. During the annual budget process, the Dean will designate a pool of funds to support general faculty and tenured or tenure track faculty whose primary appointment is not in the Batten School research/projects.
2. Batten School research and travel funds in the designated pool are only available to faculty with teaching and research appointments (T&R) and not to administrative and professional faculty (A&P). Professional development funds are available to A&P faculty and University/Classified Staff from a different funding source and through a different process.
3. Each spring semester, the Associate Dean for Academic Affairs will send out an announcement to eligible faculty detailing the application timeline and process. The annual allocation available by application to an individual general faculty member or tenure track faculty whose primary appointment is not in the Batten School from the designated pool of funds will not exceed \$5,000.
4. Allocated research and travel funds become available on July 1 in a designated Batten School research account (for general faculty) or in the faculty member's research account established by their home school/department (for individual with primary appointments outside Batten).
5. The allocated funds are to be expended for the purpose specified in the application during the fiscal year immediately following the award. Balances remaining in the account do not automatically rollover at the end of the application year, rather unexpended funds return to the Batten School budget.
6. The faculty member can submit a written request to the Associate Dean for Academic Affairs to rollover the funds if the project/research is still in progress.
 - a. The funds cannot be rolled over for another purpose; rather a new application must be submitted for new research/projects.

- b. Under no circumstance will the accumulated balance for general faculty and tenured or tenure track faculty whose primary appointment is not in the Batten School exceed \$7,500.
7. The Dean will determine the amount of research and travel funding that is allocated to the pool through the annual Batten School budget process. In some years, these funds may be limited or unavailable due to fiscal constraints.

C. Faculty Research Account Funding Procedures

1. For Batten School budgeted faculty, funding for research and travel is transferred from the Batten School general budget into a designated account established for each budgeted faculty member who receives funding.
 - a. While these funds are available exclusively to the designated faculty member the Batten School retains fiduciary responsibility for the funds, insuring that uses comply with relevant policies, laws, restrictions, and regulations.
2. For faculty awarded Batten School research funding who are not budgeted to the School, the faculty member's research project in their budgeted school/department is funded using a Batten School award.
 - a. Consistent with University practice, it becomes the responsibility of faculty member's budgeted school/department to insure compliance with all applicable policies, procedures, laws, and restrictions related to the use of the funds.
 - b. Conversely, when Batten School budgeted faculty research accounts are funded by another school/department the Batten School business office assumes fiduciary responsibility for those funds. All policy and/or legal restrictions or regulations on the funds remain in place.
3. Batten School research funds cannot be transferred directly from the originally designated faculty account to a different faculty account either inside or outside of the Batten School. If they are to be reallocated, the funds must first be returned to the Batten School general budget and then, with approval of the Dean, transferred to the new account.
4. The Batten School Business Office will manage research accounts on behalf of all Batten budgeted faculty members, and the staff are available to provide reports, balance updates, and consultation on use of the funds.
5. A Business Office designee will meet at least once per semester with each Batten School faculty member who has a designated research account and will correspond by email with non-Batten School faculty holding a research account.

D. Forfeiture of Research Funds

1. Faculty resignations must be submitted to the Dean in writing on or before May 1, and go into effect no later than May 25 of the academic year. The faculty member forfeits all accumulated Batten School research funds on the effective date of their resignation.
 - a. The funds are not portable and do not leave the School or the University with the faculty member.
 - b. It is the responsibility of the faculty member to insure that all outstanding bills, invoices, and other commitments are settled and paid in full from the research account prior to the effective date of resignation.
 - c. Any expenses that remain unsettled after the effective date of resignation are the sole responsibility of the faculty member.