

**AUSTIN PEAY STATE UNIVERSITY
POLICIES AND PROCEDURES MANUAL**

Policy Number: 7:002	Supersedes Policy Number: 99:007
Date: May 17, 2010	Dated: April 26, 2006
Subject: Grant Proposal, Application Preparation, and Award Policy	Mandatory Review Date: May 17, 2015
Initiating Authority: Director, Office of Grants and Sponsored Research	TBR Policy/Guideline Reference:
Approved: President: signature on file	

All proposals submitted to any external funding agency first must be submitted to the Office of Grants and Sponsored Research for review, routing, and approval. For proposals no more than \$1,000.00, the signature of the Department Chair and approval by the Office of Grants and Sponsored Research is required.

Proposals should be submitted to the Office of Grants and Sponsored Research a minimum of two weeks prior to the required mailing/posting date. Exceptions to this requirement are exceedingly rare but may be made by administrative approval.

The grant should be submitted with a “Proposal Approval Sheet” (Attachment A) and “Budget Information Form” (Attachment B) completed by the principal investigator and endorsed by the department chair or director and dean, prior to submission to the Office of Grants and Sponsored Research. All requested information must be clear and concise.

Budgets for proposals and, if approved, final agreements, shall be prepared using the cost categories and cost classification system used by APSU’s accounting system. Exceptions will be made only when a sponsor’s written policy requires a prescribed format. A copy of the sponsor’s requirements must be on file in the Office of Grants and Sponsored Research

The principal investigator will work with the Office of Grants and Sponsored Research and the Business Office to bring a non-conforming budget into alignment with the institutional accounting system cost categories.

When exceptions are made to the budget, the principal investigator must prepare fiscal reports reflecting these exceptions and provide additional documentation to support the expenditure classifications.

Project budgets, for proposals and final agreements, must include entries for employee benefits and indirect costs. If the sponsor has a written policy or instructions disallowing these costs, they will be shown in the project budget as APSU cost sharing. An internal funding source for employee benefit expenses must be identified. A copy of the sponsor’s written policy must be on file in the Office of Grants and Sponsored Research.

Project budgets will indicate clearly the start and end date of each budget period.

Salaries, travel and equipment items will be budgeted to conform with parallel APSU and Tennessee Board of Regents policies and guidelines or with the sponsor's written requirements, if the latter are more restrictive.

The Office of Grants and Sponsored Research is authorized to make revisions related to compliance, format, presentation, delivery, accuracy and conformity to Austin Peay State University standards. The applicant will be made aware of all revisions, as time allows. Following the initial review by the director of grants and sponsored research, the proposal will be routed through the appropriate administrative review.

The proposal must be reviewed and approved by the author's department chair, dean or non-academic administrative director, vice president for finance and administration, provost, and president. On occasion, especially for a new program, APSU's vice president of legal and strategic planning also will need to review the documents.

By signing the "Proposal Approval Form" (Attachment A), department chairs, deans or non-academic administrative directors and the vice president for the area give complete approval; assume appropriate responsibility; attest to the technical merits of the proposed work and the ability of the faculty member to perform the task; assure the University's upper-level management that existing equipment, facilities and services are adequate for the proposed scope of work; and that no additional funding for equipment, space or facilities will be required, unless specifically noted and attached to the proposal.

The signature of the director of grants and sponsored research on the proposal routing form attests that the proposal meets at least the minimum requirements of the potential sponsor and that the budget proposal and any budget for internal review only are presented in a way that facilitates review by senior administrative officials. In addition, he/she attests that the personnel costs in the budget are in accordance with APSU's personnel policies and guidelines and that all other expenditures can be made within the University's purchasing and procurement guidelines. He/she also attests that all grants/contracts will comply with all regulations related to hazardous waste, use of human and animal subjects, genetic research and security of material sensitive to national security and security clearances that may apply to the proposed project. The director of grants and sponsored research will provide assistance in implementing and maintaining any required compliances.

The vice president for finance and administration in signing, indicates that the proposal budget is in agreement with general University budgeting guidelines and that all financial obligations in the proposal can be discharged within the University's personnel and purchasing guidelines and policies.

Upon completion of the above reviews, the grant application will be recommended for signature of the provost and the president. Then, it is prepared and released according to instruction for mailing.

Upon receiving Grant Award Notification of a National Science Foundation (NSF) grant, all undergraduate and graduate students, as well as postdoctoral researchers, must complete Responsible and Ethical Conduct of Research training, which is one part of the Collaborative Institutional Training Initiative (<https://www.citiprogram.org/Default.asp?>).