

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

Policy Number: 7:002	Supersedes Policy Number: 99:007
Date: April 26, 2006	Dated: December 20, 1989
Subject: Grant Proposal and Application Preparation Policy	Mandatory Review Date: April 26, 2011
Initiating Authority: Director, Office of Grants and Sponsored Research	TBR Policy/Guideline Reference:
Approved: President: signature on file	

All proposals to be 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 date. Exceeding rare exceptions 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 provided clearly and concisely.

Budgets for proposals and, if approved, also for 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, the principal investigator must prepare fiscal reports reflecting these exceptions and provide additional documentation to support the expenditure classifications.

Project budgets, both for proposals and final agreements, must include entries for employee benefits and indirect costs. If the sponsor has 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. It then is prepared and released according to instruction for mailing.

Austin Peay State University
Office of Grants and Sponsored Programs
Internal Review and Routing Sheet

GSP USE ONLY	DATE:	GSP ID#:
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1. PROJECT TITLE	2. SPONSOR NAME AND ADDRESS:
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3. Project Period:	4. Submission Deadline:
5. Number of Copies to be Submitted:	6. Method of Delivery (check one): <div style="display: flex; justify-content: space-between; width: 100%;"> Hand Deliver Overnight Postmark Fax Electronic </div>

7. Principal Investigator(s): Department Phone E-mail	8. Co-Principal Investigator(s): Department Phone E-mail
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9. Proposed Budget (year one only)	10. For multiple year budgets indicate cumulative amounts.
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Line Item	Agency Support	APSU In-kind & *Cash Match	Other Source of Match	Line Item	Agency Support	APSU In-kind & *Cash Match	Other Source of Match
Salaries & Wages				Salaries & Wages			
Fringe Benefits				Total Direct Costs			
Equipment				F&A			
Supplies				Total Costs			
Travel				<div style="border: 1px solid black; padding: 5px;"> Indirect Cost Rate: 39% of total salaries and wages Fringe Benefit Rates: 28% regular salaries 8% extra labor 1% graduate students 1% student labor </div>			
Tuition							
Consultants							
Contractual							
Other Direct Costs							
Total Direct Costs							
F&A							
Training Stipends							
Total Costs							

Budget Comments (include information on F&A/indirect cost):
If other than 39% of total salary, how was F&A calculated?

11. *NOTE: Please complete this section for all APSU Cash Match				
Fiscal Year	Fund	Organization	Fund Description	Match \$
Total: \$				

Positions

- Yes No Project will require creation of new positions from grant funds.
- Yes No Project will require creation of new positions from institutional funds,

Certifications Regarding Regulatory Compliance

- Yes No All Co-PI/PDs certify that they do not hold significant financial interests related to the project.
- Yes All Co-PI/PD(s) who hold significant financial interests related to the project that may be affected by the project have filed the appropriate disclosure statements.
- Yes No All Co-PI/PDs certify that they are not delinquent on any Federal debts and are bedarred or susoended from receipt of Federal funds.

Space and Equipment Needs (If Yes to any of the following questions, identify the University administrator responsible with a support letter from that administrator.)

- Yes No Will space be required for office(s), office equipment, instructional or research equipment?
- Yes No Will space alterations be required for office(s), office equipment, instructional or research equipment?
- Yes No Will space require additional electrical service for equipment/computers?

Academic and Administration Program Changes (If Yes, attach a letter of explanation.)

- Yes No Will this project involve the development or implementation of a new academic major, new academic degree, or new interdisciplinary arrangement?
- Yes No Does this proposed project envision an advising or governing role for a project committee?
- Yes No Is it anticipated that this project will create a new administrative unit?

Institutional Obligations (If Yes, attach a letter of explanation.)

- Yes No If the project is funded, will APSU, or any unit within APSU, be responsible for continuation of it in any respect when it expires?

Compliance Review	Human Subjects	Patent and Copyright
	Animal Subjects	Laboratory Safety
	Hazardous Materials	Other

Funded Projects

Is billing required? Yes No
 If yes, who will do the billing? Grants Accounting Your Org. Other _____
 What is the frequency of billing? Monthly Quarterly Semi-annual Annual

Are reports required? Yes No
 If yes, which? Financial Project Summary Project and Patent Other _____

Is PI responsible for any reports? Yes No
 If yes, which ones? _____

Will grant money go into a pre-existing fund (account)? Yes No
 If yes, which fund(s)? _____

Approvals: (Commitments of resources must be approved by all cognizant unit heads. Include % of responsibility each Co-PI will commit toward this project. If there are other PI's, please include an attachment.)

	% of time on this project	GSP will obtain the signatures listed below.	
	%		
Principal Investigator/Project Director	Date	Director of Research and Sponsored Programs	Date
	%		
Principal Investigator/Project Director	Date	Dean of Graduate Studies	Date
	%		
Principal Investigator/Project Director	Date	Vice President for Academic and Affairs	Date
Chairperson or Unit Head	Date	Vice President for Finance and Administration	Date
Dean, Director or Vice Chancellor	Date	President	Date

APSU Office of Grants & Sponsored Programs
 Budget Worksheet - ***THIS FORM MUST ACCOMPANY ALL PROPOSALS***
 Use this form for ***SINGLE YEAR AWARD BUDGETS***

				*Other	
	External	APSU	APSU	Source	Total
Line Item	Support	In-kind	Cash Match	of Match	Support
Salaries & Wages					
**Fringe Benefits					
Equipment					
Supplies					
Travel					
Tuition					
Consultants					
Contractual					
Other Direct Costs					
Total Direct Costs					
***F&A (Indirect Costs)					
Training Stipends					
Total Costs					

*Please provide a separate sheet of information for other sources of match (name, amounts).

**Fringe Benefit Rates: 28% regular salaries, 8% extra labor, 1% graduate students, 1% student labor.

***Indirect Cost Rate: 39% of total salaries and wages for Federal Contracts, 15% of total salaries and wages for State Contracts, 8% of total salaries and wages for School Districts.

Project Name: _____

Project Pincipal (s): _____

Project Sponsor: _____

Project Dates: from ____/____ to ____/____