

Policy Revision Checklist for Policy #

1. Start Group preparing the revision

2. To Legal Affairs and Strategic Planning
Request the Word version of a policy.

3. To Initiating Authority of the Policy
Provost
Vice President for Student Affairs
Director of Affirmative Action
Vice President for Finance and Administration
Executive Director for University Advancement
Inform the Initiating Authority of the request to revise the policy.

4. To Group preparing the revision
Revise the policy following policy 0:001 for format.

5. If the policy is academic, then

To Faculty Senate Executive Committee
Review the policy.

To Faculty Senate
Vote on the policy.

To Deans' Council
Vote on the policy.

To Academic Council
Vote on the policy.

6. To Legal Affairs and Strategic Planning
Prepare the policy for the next Policy Committee meeting.

7. To University Policy Committee
First Reading
Review the policy.
Second reading
Review an academic policy for information.
Vote on implementation, revision, or revocation of a non-academic policy.

8. To Legal Affairs and Strategic Planning
If the policy is approved, prepare the policy for the President to approve and sign.

9. To President
Approve and sign the policy.
Reject the revision.
Return the policy to Step 4 (or to Faculty Senate Executive Committee) for final revision.

10. To Legal Affairs and Strategic Planning
Post the policy to the web, send an electronic copy to the library, post it in The Gov, and keep the original on file along with any back-up material.

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

Policy Number: 7:003	Supersedes Policy Number: n/a
Date: April 26, 2006	Dated: n/a
Subject: Grants Award / Declination Policy	Mandatory Review Date: April 26, 2011
Initiating Authority: Director, Office of Grants and Sponsored Research	TBR Policy/Guideline Reference: n/a
Approved: <p style="text-align: center;">President: signature on file</p>	

Upon notification of a grant/contract award or declination by the sponsor, the Office of Grants and Sponsored Research should be notified immediately. If it is in writing, the original notification should be delivered to the Office of Grants and Sponsored Research for filing. The Office of Grants and Sponsored Research will notify all parties about the award and alert interested parties to the impending receipt of the contract.

Declined Proposals

If the proposal was declined by the sponsor, the notice will be placed in the grant file and the grant considered closed until reactivated by further applications. It is the principal investigator's responsibility to ensure that reviewer's comments (if available) are on file in the Office of Grants and Sponsored Research in the event of a future submission.

Awarded Proposals

In general, grants and contracts are awarded to Austin Peay State University, not to the principal investigator. APSU is the legal entity accountable for compliance with all terms and conditions of the grant or contract.

In consultation with the principal investigator, the Office of Grants and Sponsored Research ~~will~~ may negotiate for changes in programs and/or in funding level. If negotiations result in programmatic or funding changes that increase the level of APSU's commitment beyond what was authorized by the original proposal, the Office of Grants and Sponsored Research will secure approvals for changes from all relevant administrators. This must be completed prior to accepting the award.

~~If the proposal was declined by the sponsor, the notice will be placed in the grant file and the grant considered closed until reactivated by further applications.~~

~~In general, grants and contracts are awarded to Austin Peay State University, not to the principal investigator. APSU is the legal entity accountable for compliance with the terms and conditions of the grant or contract.~~

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Award Acceptance and Routing

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~~Grant and contract awards to the University must be approved and accepted by the President or his/her designee.~~

~~Subsequent to the award notification, a contract should be received from the external sponsor. The contract must be routed through the University in the same manner as the original proposal. This contract must have the "Contract Approval Form" completed and routed through the appropriate administrative channel. The Contract Approval Form must be signed by the academic dean, the department vice president, and Grants and Sponsored Research. It will then be submitted to the Vice President for Legal Affairs and Strategic Planning. Additionally, some agreements specifically require a signature by the President. No agreement exists until a fully executed contract has been received, accepted, and numbered by the Vice President of Legal Affairs and Strategic Planning.~~

~~When a granting agency requests formal acceptance of an award, the acceptance will be processed through the Office of Grants and Sponsored Research and routed through the appropriate administrative channel, concluding with the president's signature. No award agreement exists until the required documents are routed and appropriately signed and returned to the sponsor. If during this review, it is determined that contract modifications are needed, the Office of Grants and Sponsored Research will negotiate with the sponsor for the modifications.~~

When a sponsor issues an award letter that does not require written acceptance, the Office of Grants and Sponsored Research will route that letter ~~to the president~~ for approval. When the ~~president's~~ approval has been received, the Office of Grants and Sponsored Research may commit the University to the award by authorizing expenditure of the grant funds. Unless specifically declined by APSU, an award letter creates an agreement.

The Office of Grants and Sponsored Programs will return the contract to the sponsor for execution.

Principal investigators are not permitted to expend grant funds until the formal agreement has been routed, signed, and notification has been given to the principal investigator that they may begin grant activities. Initial expenditure of funds constitutes formal acceptance of such awards. Sponsors occasionally permit pre-award grant expenditures; in such a case, notification from the sponsoring agency must be received and on file in the Office of Grants and Sponsored Research prior to incurring pre-award expenses.

~~Subsequent to the award notification, a contract should be received from the external sponsor. The contract must be routed through the University in the same manner as the original proposal. This contract must have the "Contract Approval Form" completed, signed by the principal investigator and the department chair and dean, which is attached to it, and then submitted to the Office of Grants and Sponsored Research.~~

~~The Office of Grants and Sponsored Research will route the contract for review and approval first to the appropriate director/chair and dean and then to the vice president for academic affairs; vice president for finance and administration and the vice president of legal affairs and strategic planning.~~

~~If during this review, it is determined that contract modifications are needed, the Office of Grants and Sponsored Research will negotiate with the sponsor for the modifications.~~

~~When approved, the vice president for legal affairs and strategic planning will route the contract to the President's Office for signature.~~

~~The Office of Grants and Sponsored Programs will return the contract to the sponsor for execution.~~

~~Upon receipt of the fully executed contract, the Office of Grants and Sponsored Research will forward it to the vice president of legal affairs and strategic planning for numbering and distribution.~~

~~No agreement exists until a fully executed contract has been received, accepted and numbered by the vice president of legal affairs and strategic planning.~~

~~When a granting agency requests formal acceptance of an award, the acceptance will be processed through the Office of Grants and Sponsored Research and routed through the appropriate administrative channel concluding with the president's signature. No agreement exists until the required documents are appropriately signed and returned to the sponsor.~~

~~When a sponsor issues an award letter that does not require written acceptance, the Office of Grants and Sponsored Research will route that letter through the same administrative review as the original proposal. Once reviewed, it will be submitted to the president for acceptance. When the president's approval has been received, the Office of Grants and Sponsored Research may commit APSU to the award by authorizing expenditure of the grant funds. An award letter creates an agreement unless specifically declined by the University. Initial expenditure of funds constitutes formal acceptance of such awards.~~

University Obligation

The University has no obligation to accept or to provide cost-sharing or matching funds for any award for which a fully approved proposal is not on file in the Office of Grants and Sponsored Research. This applies to all awards, regardless of who may be designated as the primary awardee.

Declination of an Award

Declination of an award must be done in writing over the signature of the Vice President of Legal Affairs and Strategic Planning ~~president's signature~~.

All declinations must be routed through the Office of Grants and Sponsored Research.

The Office of Grants and Sponsored Research will notify all administrators signing the original proposal of the intent to decline an award prior to taking action on a declination.

Individual Awards to Individuals

Grants are considered individual awards only when APSU is not named in the agreement and the payee for all funds is the principal investigator in his/her role as a private citizen.

Individual awards will be reported to the Office of Grants and Sponsored Research when one or more of the following conditions exist:

1. Project work will take place during the employee's normal working hours or will require the employee to be absent from his/her normal work assignment (including leaves of absence and reassigned time).
2. Project work will be performed on University property.
3. University resources (e.g. equipment, clerical support, etc.) will be used in the performance of the project.
4. The contract or agreement was awarded based upon the individual's status as an employee of the University.

Awards meeting the above criteria will be included in all reports issued by the Office of Grants and Sponsored Research pertaining to external support for University research and related activities.

Individual awards will be reviewed by the Office of Grants and Sponsored Research to determine the extent of the commitment of University resources necessary to complete the project. If a commitment of University resources is needed, the awardee must obtain University approval for their use prior to acceptance of the award. The Office of Grants and Sponsored Research will assist the awardee with needed approvals. Inability to secure these approvals may necessitate the individual awardee's declination of an award.